David Lodge’s Campus Novels in Spanish Translation:
A Comparative Study of Genre and Intertextuality

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ABSTRACT

This thesis explores the inter-related concepts of intertextuality and genre in translation, with special reference to how David Lodge’s campus novels Changing Places [1975], Small World [1984], and Nice Work [1988] have been translated in Spain since 1977. This is done through a descriptive comparison of source texts and target texts, along two lines of investigation: generic intertextuality and specific intertextuality. In terms of generic intertextuality, Lodge’s novels are linked to a line of texts that constitute the Anglo-American subgenre of “campus novels”. In Lodge’s novels this generic connection is sustained by his parodic depiction of academia and by the use of conventionalised textual and narrative structures that elicit certain responses from readers and influence their interpretation of the novels. Specific intertextuality, on the other hand, is generated in his novels by way of specific references to the traditions and canonical texts of English literature. These references function as a source of meaning, and are designed to bring certain connotations to readers’ minds, also shaping their perception of the novels.

This intertextual framework, as well as cultural elements such as the parody and the university settings, raise particular problems for the Spanish translator, who is faced with literary and cultural referents that are unfamiliar to the average Spanish reader. The difficulty is only intensified by the fact that the campus novel has no similar counterpart in the Spanish literary system. Ultimately, in order to represent these cultural elements for the target reader, the translator must choose among a variety of translation strategies and case-by-case solutions. These decisions are necessarily also influenced by extra-textual factors such as translation “norms” and awareness of reader expectations. My case-study comparison and analysis of translators’ behaviour as regards the generic and specific intertextual features of Lodge’s novels leads to broad conclusions not only about the effect of certain translation choices on these features, on the overall character of the novels, and on their reception by target readers, but also on the reasons underlying translators’ strategies and how far they may be said to respond to normative or other constraints.
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DECLARATION

Some of the material presented in this thesis has appeared before. The section on the Spanish reception of the David Lodge novels in Chapter 6 has been expanded from the paper “The European Academic Novel: David Lodge in Spain”, given at the University of London School Advanced Studies on May 14, 1999.

Likewise, a preliminary version of my study on quotations in Chapters 1 and 8, with illustrative examples from the case study on the Lodge translations, appears as an essay entitled “La traducción de las citas literarias: Responsabilidad y estrategias” [“Translating Literary Quotations: Responsibility and Strategies”], in Ética y política de la traducción literaria (Málaga: Universidad de Málaga, forthcoming).
LIST OF ABBREVIATIONS

BT  ¡Buen trabajo!
CP  Changing Places
IC1 Intercambios (translation by Vicente Riera)
IC2 Intercambios (translation by Francesc Roca)
MP  El mundo es un pañuelo
NW  Nice Work
SC  Source culture
SL  Source language
ST  Source text
SW  Small World
TC  Target culture
TL  Target language
TT  Target text
INTRODUCTION

Over the last three or four decades, the increasing volume and importance of the translation flux between English and Spanish, especially as regards contemporary fiction, has aroused a substantial amount of scholarly interest. The translation and reception of contemporary English-language literature in Spain has been studied not only from a linguistic point of view, but also from a cultural one, in the wake of the still-influential “cultural turn” in translation studies which emerged towards the end of the 1980s. Research undertaken in this field has frequently turned to issues of intercultural communication and of the translator’s role in shaping a text that is able to transmit source-culture referents, ideas, values or literary features across differences in situational context and cultural background. Much of this scholarly work has been informed by the descriptive paradigm in translation studies.

Building on this research frame, this study focuses on one particular area of contemporary English-language fiction in Spanish translation, namely the subgenre of the campus novel. Campus novels constitute a singularly Anglo-American subgenre, and David Lodge’s novels especially have attained something of a representative status among them. This is of special interest with reference to the
particular textual features of Lodge’s novels, especially his extensive use of highly
culture-bound intertextual connections from the generic level to that of specific
quotations and citations. Accordingly, the primary objective of the present thesis is
to describe and analyse how certain generic-intertextual elements of David Lodge’s
campus novels, Changing Places [1975], Small World [1984] and Nice Work
[1988], have been translated in Spain since 1977.

Translations are an important part of the interface between readers with an interest
in a foreign literature and texts from that foreign literature. Consequently, in the
transfer of academic novels from Britain to Spain, the translator’s treatment of their
most culture-bound traits, which may prove to be extremely unfamiliar to the
receiving culture, plays a major part in how the novels are received by that reading
public. As I mentioned, one of the most important features of Lodge’s campus
novels is the density of intertextual connections, which mainly operate on two
levels. On a generic level, the novels emphatically place themselves in a long line of
“campus novels” in Anglo-American fiction, whence they derive both a comic
quality and textual structures that elicit particular responses from readers. On a
more specific level, intertextuality is generated through explicit and implicit
allusions or other references to numerous texts of English literature. These allusions
are also designed to evoke a certain set of associations in readers’ minds, creating
layers of meaning over the characters and events of the novels. This richly
intertextual web constitutes a challenge for Spanish translators. They are faced with
some literary and cultural referents that are very unfamiliar to the average Spanish
reader, e.g. the campus subgenre itself, the British university system and its socio-
cultural microcosm, and many of the alluded canonical texts of English literature.
The central research question to be examined in this thesis is how both generic and specific intertextual elements in fictional texts are translated. In studying the Spanish versions of Lodge's academic novels I consider what solutions translators have employed to cope with the intertextual problems of genre and literary reference, the consequences translators’ choices have had for the target text, and the impact of the latter in its new environment.

Viewed from a systemic and functional angle, a translator makes meaningful choices from a series of available options. By looking at the selections that were made as opposed to the alternatives that were realistically available at particular junctures, and by observing the emergence of any patterns in translation solutions or strategies, it is possible to conjecture to what extent the choices can be explained with reference to existing “norms” (translational, literary, sociological and so on) underlying a particular translator’s practice, as posited by the so-called “Manipulation group” in Translation Studies. The focus is thus on the translators’ behaviour as evidenced by the solutions that have been applied to the texts in their transfer between the British originating culture and the Spanish receptor one. Additionally, these findings can be complemented by an analysis of the socio-cultural factors that surround the production and reception of a specific translation, in order to ultimately create an image of it as part of the target culture, delimiting the space it occupies in the literary system and what apparent function it seems to fulfil. Any shifts or alterations in the generic or intertextual properties of the texts indubitably will have had a bearing on the position and character that a TT acquires in a given system for a certain readership.

As I mentioned earlier, this research project takes the form of a descriptive study, based on a close comparison of the three English novels and their translations into
Spanish (*Changing Places* in 1977 and 1997, *Nice Work* in 1989 and *Small World* in 1990). The data yielded by the comparison of source and target texts should expose visible shifts between them at all levels. By focusing specifically on the subgenre- and intertextuality-related shifts, it should be possible to outline in what ways the original generic affiliation and intertextual layers of the novel are modified through the translator’s decisions, and how the target reader might be expected to react to such a modified text. Additionally, the examination of translation patterns or consistencies may provide pointers to the strategic choices and/or underlying norms adopted by the translator when addressing these textual macro-levels, which in themselves present the target readership with the inherent difficulty of coping with highly culture-specific referents. Needless to say, a study of such limited scope as this is unlikely to produce a clear outline of distinct behaviour-modifying translation norms. More realistically, translators’ different selections from the sets of acceptable and/or commonly adopted solutions that emerge as answers to particular intertextuality-based translation problems, will come across as dictated by diverse priorities depending on personal, textual and contextual factors.

The textual comparison has been carried out on a sentence-by-sentence basis across the seven books. However, I have selected only those instances that have a direct bearing on the transmission of generic and intertextual features. That is to say, this project does not set out to analyse linguistic aspects such as semantic and syntactic shifts per se. These are only covered in the investigation insofar as they are significant for the intertextual dimension of the texts. In the same way, cultural aspects which are relevant to the campus novel subgenre have been discussed and analysed, but not those which have no special pertinence to subgenre characteristics. Finally, this is a descriptive study which does not set out to
prescribe a “correct” way of translating with reference to the intertextual dimensions under study.

With these premises, my thesis can be seen as extending the work of other translation scholars who have focused on aspects of literary intertextuality and translation, among them Karin Littau on *The Waste Land* in French and German, Ritva Leppihalme on translating allusions in Finland, and Russell West on the intertextual connections between Joseph Conrad and André Gide.¹ In Spain, this area of research has also raised some interest, with the work of Rosa Rabadán at the Universidad de León, and Jesús Molina Miralles’s research on intertextuality and translation in Herman Hesse.²

However, these researchers concentrate mostly on particular literary influences and borrowings, i.e. on the intertextual connections between certain authors or works of literature, and how these connections are addressed in translation. Decidedly fewer investigations have been carried out in the field of the translation of generic intertextuality, or the intertextual connections between multiple texts belonging to the same literary genre. Mieke Desmet and Belén González Cascallana have carried out doctoral research projects on intertextuality and translation in children’s and young adults’ literature, and Luis Alberto Lázaro in Spain has investigated British satiric novels in translation, but research projects of this kind are few and far

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Therefore, while this thesis centres equally on the specific and generic aspects of intertextuality, I would like to present its genre dimension especially as a contribution to the investigative dearth in the area of genre and translation, hoping to raise further interest in research in this area.

Most of the existing research on translating intertextuality consists of case studies, and my investigation intends to add to this body of work. The accumulation of case-studies will contribute a great deal to the description and articulation of the attitudes and notions about translation that are current at a given time and place, or over certain periods of time. This will enhance the view of translation as a socially- and contextually-determined process that does not happen in a vacuum, but within a web of socio-historical conditions and constraints. In turn, these findings may become fundamental in the teaching and training of prospective translators, highlighting aspects of intercultural communication which may require special emphasis, and which are perhaps not all that central to translation training at the moment. In other words, my conclusions as regards translating (sub)generic and intertextual connections may have implications for future translation practice, indicating what features translators should be looking out for with respect to genre characteristics, allusions and other references, which might not appear crucial to begin with, but which may turn out to be quite significant in the global composition of the text.

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On the other hand, aside from contributing to the study of literary and generic intertextuality in translation, this study aims to promote the further development of descriptive translation studies as a research framework and a way of approaching translations. Much of the value of a research methodology is said to lie in its adequacy to the aim and object that it is designed for, and also in its replicability, i.e. in its potential for application to other, similar objects of study. I have endeavoured to follow a straightforward method in this study, establishing first the theoretical anchor-points that constitute the basis for my investigation (intertextuality, genre and translation), then describing the objects of my study (STs and TTs) in their literary and social contexts (history, reception, and so on), and finally drawing out comparisons between them only on those textual aspects that are relevant to the literary features under scrutiny. Admittedly, the heuristic framework that I have used effectively integrates elements from several different descriptive models of translation research, such as translation-linguistic categories from Vinay and Darbelnet’s classification, and translation-allusional categories from Leppihalme’s work on allusions. Nevertheless, it is hoped that this comparative method, with very minor adjustments or fine-tuning, could be applied to other narrative texts.

The thesis is organised in two halves. The theoretical part encompasses Chapters 1 to 5, and the practical case study comprises the longer chapters 6 to 8. The central focus of attention of this whole project is intertextuality in translation. Accordingly, Chapter 1 establishes the preliminaries and the theoretical basis of the notion of intertextuality, its origin with a text’s author or a text’s reader, its mechanisms of evocation, how intertextual connections and allusions become a source of meaning within the textual universe of novels, and finally how intertextuality guides and shapes readers’ perception of a text. The two main directions of intertextual
research, i.e. generic and specific intertextuality, are also sketched out in this chapter, as is a classification of different types of allusions according to reader-oriented criteria of familiarity and status, which have a bearing on the type of response that can be expected both from a SC readership and from a TC one.

Chapter 2 begins with an exposition of the concept of literary genre and the inherent double bind in the attempt to classify genres either historically or theoretically. Moving away from formal literary considerations, into a socio-historical view on how genre is perceived by writers and readers, a flexible notion of genre is presented through the Family Resemblance Theory. This theory stresses the role of diffuse features in common that cause the texts in a genre to be perceived as tokens of a class by readers, with some of those traits eventually acquiring the consideration of genre-constituent or “kernel” features for the literary community at a specific point in time. This perspective gives prominence to socio-literary conventions and to readers’ context-dependent expectations and interpretive inclinations, which become primordially important in the translation of generic properties and connections across cultural systems.

In Chapter 3, I present a history of the British academic novel as a literary subgenre with a long tradition. Starting with a working definition, I trace the development of this type of novels from their earliest manifestations to the present time, when they have branched out into several subspecies. The chapter recounts the series of circumstances that crucially altered the tone and character of academic novels in the 1950s, as well as the diverse labels that distinguish the different subgroups nowadays. Finally, it outlines the main kernel qualities – those that are perceived as constitutive of the subgenre by contemporary readers – that are associated with contemporary “campus” novels.
There follows in Chapter 4 an account of David Lodge’s triple perspective as writer, literary critic and former university professor, and how in his creative practice he is able to connect literary awareness and formal experimentation, particularly as regards the density of intertextual reference that is such a prominent feature of his campus fiction. This chapter also provides an analysis of the structures and content of Changing Places, Small World and Nice Work, highlighting the presence of intertextual associations and their significance within the text. Finally, the reception of these novels in Britain and readers’ responses to them are considered.

Chapter 5 identifies descriptive translation studies as an appropriate paradigm for the type of research that has been undertaken, and highlights the figure of the translator and underlying norms or other types of constraints as key factors that condition the translation process. The notions of translation norms and strategies are considered in some detail, as are their potential overall consequences on TT orientation and characterisation. Next, I consider the translation solutions that are selected by translators and are therefore visible in the TT, classifying them and considering their nature, their underlying principles, and their possible “shifting” effects on the text, as well as how they can alter reader perception.

Chapters 6, 7 and 8 present the case studies proper. Chapter 6 examines the context in which the Spanish Lodge translations have been published, taking into account the socio-cultural and literary backgrounds into which they have been transplanted. This is followed by an account of the pertinent reception and response aspects, such as critical reviews and readers’ reactions. A chronology of the novels’ translation and reprinting history ensues, followed by some considerations on the production and main linguistic features of each of the translations, and the general attitudes of
each of their translators, including the use of a previous translation as a basis for a re-translation.

Generic intertextuality is the focus of Chapter 7. The comparison is based on some of the kernel subgenre qualities that were listed in Chapter 3 as being conventionally-perceived as pertaining to the contemporary campus novel subgenre – university setting and comic-parodic tone –, counting the lack of a corresponding Spanish genre as a crucial conditioning factor for translators’ choices in these areas. The different translation solutions that are applied to these salient text properties are illustrated by numerous examples, assessing their impact on textual functions, coherence and style. In the conclusions to this chapter, I examine the cumulative effect of translators’ consistent application of certain translation solutions rather than others on the final translated end-product, and how their associated shifts may alter Spanish readers’ perception of the campus novel subgenre and even cause irresolvable conflicts in terms of the storylines. The extent to which translator behaviour and presumed strategic choices could be related to existing norms is also tentatively articulated throughout this chapter and in the conclusions.

In Chapter 8, specific intertextuality is examined. Lodge’s use of concrete pseudogeneric intertextuality as a structural device in his campus novels is discussed first, as is its textual importance. As I show with examples from the case-study texts, pseudo-generic intertextuality is a main source of literary meaning in the novels, and its varying treatment on the part of the translators can either crucially promote or hinder readers’ comprehension of the stories. Moving on to specific literary intertextuality, I again take up the classification of translation solutions, detailing their characteristics and their presumable effects on texts and readers. Next, I combine the list of solutions and the classification of allusive references according
to familiarity and cultural status from Chapter 1, creating a conceptual grid where I can map numerous examples from the case-study texts. These examples eventually draw up a picture of how translators’ solutions reflect their own awareness of literary references, and also their expectations in terms of which references Spanish readers will be able or unable to process in their reading. Again, assessing the shifts between STs and TTs in terms of frequent patterns or consistent translation tendencies for certain types of intertextual items will reveal which strategies or strategic configurations are predominant for each case, and this in turn will yield clues as to possible underlying norms that could have influenced the translators, and whether they could arise from socio-cultural, textual, or linguistic considerations.

Finally, the conclusion to the thesis summarises the case-study findings and the significance of this type of translation description and analysis as a tool for the study of intertextual relationships between texts in translation. The main points of this project are reiterated, and further avenues of research are pointed out for future work.
1.0 INTRODUCTION

Intertextuality can be broadly defined as the ability of texts to refer to other, pre-existing texts. It is the basic underlying assumption of any intertextual approach that no text emerges independently of what has already been written and said. Instead, any one text always bears the imprint of many other pre-existing elements of the literary system in which it emerges. Though this may seem obvious in those texts that manifestly declare their intertextual connections, such as novels belonging to the same series, various theories have attributed intertextuality to every form of textual practice, designating it as an inescapable precondition of any individual’s creative process and, more importantly for a reader-oriented perspective, affirming that all forms of discourse derive their significance at a given moment in time precisely from their relationships to texts that precede them and texts that succeed them. Alternatively, some other theories narrow their scope to literary texts and to the study of patent relationships of influence or evocation between texts, relationships ranging from same-genre affiliation to quotation of fragments of an external text.
In spite of the different approaches, and regardless of whether it is recognised as a primary characteristic of texts or as an effective literary device, intertextuality has been present in literary discourse since Antiquity, under its many forms of imitation, quotation, parody, commentary, translation, transposition and so on. From the recurrent poetic archetypes of Horace to the density of literary reference in James Joyce’s *Ulysses*, intertextuality emerges ubiquitously throughout the history of literature. There is a body of intertextual criticism that spans centuries, from the theoretical accounts of *imitatio* in ancient Greek and Roman rhetoric, to numerous contemporary studies on literary influences and the use of pre-existing texts by authors. However, as the creation of the term “intertextuality” in the 1960s suggests, interest in intertextual relations operating irrespective of authorial intent has increased in recent decades. The rapid growth of critical interest in intertextual phenomena in Western literature appears to be grounded in the structuralist and post-structuralist developments that have dominated critical theory since the 1960s. As the figure of the creative author was displaced by a more text-centred model of literary analysis, the connections of the individual text with its precursors and contemporaries stood out as a distinctive part of its form. Particularly in post-structuralist terms, no text can be considered in isolation because every text echoes, alludes to and is ultimately constituted by other texts due to the intrinsically citational nature of language. Simultaneously, the advent of authority-subverting postmodernism in all areas of cultural production, incited a wave of more experimental writing in Western literature, including a number of authors who use canonical texts as important referents within their work. The proliferation of such openly intertextual material has promoted the development of intertextuality theory and of numerous case-studies.
This chapter introduces the theories that compose the nucleus of contemporary intertextuality theory and then focuses on those that take the literary text as their object of study. From among these, I have highlighted those that prioritise an interaction between author, text and reader in the realisation of intertextuality, considering them the most relevant for a target-oriented comparative study of translations such as I am undertaking in this thesis. These theories provide the basis for the two main lines of research which will be developed in further chapters, namely the two main forms of intertextuality that are pertinent to the Lodge texts under examination: generic intertextuality, which is established on the macro-level of genre (and subgenre) relations, and specific intertextuality, which operates on the micro-level of specific connections between particular texts, such as allusions, quotations and other forms of literary reference.

1.1 INTERTEXTUAL THEORIES: ORIGIN AND PRECURSORS

Though the current term “intertextuality” emerged relatively recently, the roots of the concept can be partly traced back to the 1920s, with the work of various Russian Formalists. Jurij Tynjanov in particular was one of the earliest theorists to point out the interdependence of literary and cultural systems, and their joint articulation in specific texts. In his article “On Literary Evolution”, he put forward the hypothesis that any literary work is built upon two levels of relationships. On one level, every text is related to pre-existing literary texts, and on another level, to non-literary systems of signification, such as oral traditions.¹ In this manner, the first idea of intertextuality came to be linked to language as well: from Tynjanov’s theoretical point of view, no utterance appears independently of what has already been uttered. Mikhail Bakhtin built on this idea for his theory of utterance, which also proved central for constructing the contemporary notion of intertextuality. In his opinion,

any utterance, whether literary or everyday, is embedded in a social context which shapes it and orients it within the social sphere. All utterances thus encounter one another within a web of other utterances that are also shaped by their own social contexts. For Bakhtin, the interaction between utterances is best described as a kind of dialogism, and includes all types of discourses belonging to different social milieus and different historical moments. In dialogism, meaning develops from the interplay of the heterogeneous discursive voices when they are set in opposition in a text.

Dialogic interaction gives rise to the phenomenon of heteroglossia or polyphony, based on Bakhtin’s posited stratification of a language. Languages, he asserts, are compounded by different strata which are the different social dialects, professional jargons, generational languages, generic languages, authoritative languages and so on, which coexist at any given moment of their historical existence. From a literary point of view, Bakhtin’s heteroglossia denotes a conglomeration of written or spoken voices, the interaction of the different discourses coexisting within the main body of the work and surrounding it without. This is particularly noticeable in literary forms like the novel, where the socially and individually determined subjectivity of the material writer is complicated by the apparition and dialogue of different socially determined characters and points of view. A particular remark, for instance, may be double-voiced in that it is written by an author and yet uttered by a character in his/her novel who may further be inscribed as a symbol of a particular social group or community. The meaning of that utterance thus becomes complex or

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layered, insofar as it serves the intentions of three speaking entities. Symbolism, irony and parody, for example, are produced in such a dialogue of two world views. In Bakhtin’s view, the coexistence of different discourses creates a dynamics for the novel itself, which moves forward through the dialectic of all the voices appearing in the text. For instance, when textual fragments are ascribed to specific authors and books (as in the case of quotations, allusions, paraphrases), intertextuality becomes a means of highlighting the impossibility of a unified authorial voice emerging from a single identity. Thus, the main authoritative voice in the text, the author’s voice, is perceived as being always already a conglomerate and transformation of other literary discourses that have preceded it, just as his/her texts will become voices in the literature produced by writers coming after him/her. As I shall explain later on, Bakhtin’s notions of heteroglossia and textual polyphony have been very influential in the development of David Lodge’s fiction, and offer substantial clues to his literary and his critical work.

Bakhtin and Tynjanov’s linking of literary and non-literary systems of signification was taken up in the 1960s by French semioticians such as Roland Barthes and Julia Kristeva. In the French semiotics of literature, intertextuality leaves behind the traditional study of sources and influences, and considerably broadens its scope. In his influential essay “The Death of the Author”, Roland Barthes outlines an expanded notion of intertextuality which in his view comprises “anonymous discursive signifying practices”, defined as widespread codes whose origins are lost or unknown, and which enable subsequent texts to signify. All forms of human communication, for Barthes, partake of these shared codes, which are in fact what makes communication possible. Within his system, the social and cultural citations

4 Bakhtin admits dialogism to be one “pole” of literary discourse, with monologism as its opposite. Monologic discourses are those of poetry or rhetoric where utterances tend to be majorly invested with the speaker’s persona or the dominant ideology.

of which a text is made are always the “already read”, simply because they can
never be other than the “already uttered”, and function as such in the minds of the
writer and the reader alike. In this way the text comes to represent one fraction of an
endless web of signifying relations, and ultimately, any text is related to all of a
society’s culture.

With a theory along the same lines, Julia Kristeva famously coined the original term
“intertextuality” in 1965. Kristeva took Tynjanov’s conjunction of textual systems
of signification, and extended it to non-verbal sign systems, integrating all symbolic
systems in her study of semiotics. In addition, she established a parallel between
Bakhtin’s dialogics of the word and the dialogics of texts: in the same way as words
signify by occupying a space within various social discourses, so a particular text
signifies by existing at the crossroads of many other texts. The literary text is
energised by the intersection of numerous other texts from within and without the
text, engaged in continuous dialogue with each other. As a result, she agrees with
Bakhtin that: “Tout texte se construit comme une mosaïque de citations et tout texte
est absorption et transformation d’un autre texte”. 6 All texts take part in an endless
re-inscription of other texts. Her use of the middle voice se construit (“is
constructed/constructs itself”) emphasises intertextuality as a primordial property of
texts, emanating from them independently of human agency. Viewed as a process
that is always already in motion, Kristeva’s concept of intertextuality becomes a
key mechanism in text dynamics. Accordingly, she states that once we perceive that
a text’s meaning depends on other texts that it assimilates and transforms,
traditionally understood “intersubjectivity” (the exchange between the author and
the reader through the text) is replaced by “intertextuality”, a relationship between
texts. 7 In other words, textual meaning is understood as a function of the existing

relationships between texts, almost independently of the way human agency intends or interprets it.

Once Barthes and Kristeva have established that, in fact, any particular realisation and usage of a sign-system constitutes a text, the notion of "text" is vastly expanded. Their theories transplant intertextuality into the field of semiotics, so that its final definition comes to designate the overt or covert transposition of any one sign-system into another. Kristeva's theoretical analysis of intertextuality, as well as the work of Barthes and their Russian precursors, lays the foundation for studying the mechanics of intertextual relationships; however, in practical terms, their definitions of "text" and "intertextuality" can prove too broad for use in literary criticism that restricts itself to a certain class of written textual matter. In addition, these complex theories do not provide any clear-cut boundaries either for textuality or intertextuality, as the web of text interrelations extends infinitely in time and space across all socio-cultural practices and human interaction. In other words, an unchecked semiotic theory of intertextuality designates too large and diffuse a discursive space for the study of particular intertextual connections such as I aim to examine and analyse in this investigation. Indeed, for a study such as mine, it seems more practical to bypass the semiotic dimension of intertextuality and to limit the scope of the study, viewing the text as a site of interchange among fragments of writing and established literary traditions that contribute to its construction. This view has the advantage of restricting the range of possible points of reference to literary objects proper, so that the intertext comes to mean the corpus of all other literary entities evoked by the texts under examination, whether they be particular texts, or broader literary categories, such as genres. From this perspective, therefore, my object of study will be explicit and implicit textual intersections, and the way in
which my central texts – Lodge’s novels – use the recalled texts and literary structures, by repeating, modifying, subverting or even negating them.

1.2 CONTEMPORARY THEORIES

As I observed in the previous section, the literary intertext comprises those texts – understood as literary entities – that are brought to bear on a specific text. One important issue arises in contemporary discussions of intertextuality: whether intertextuality lies embedded in the text, an assumption that would imply the intention and agency of an author who creates intertextuality upon first composing his or her text; or whether it is a result of specific readings carried out by individual readers or reader communities. If the former were exclusively true, the range and meaning of the intertextual elements would be relatively fixed and unchanging. In the latter case, it would be fluid and dependent on varying contextual factors. The key players that emerge in this matter of intertextuality are therefore the text itself, the author, and the reader. There is some division between contemporary theories of intertextual reference that favour the author’s creative input in the text and those that favour the reader’s intervention in the production of textual meaning. Both tendencies are represented in the following sections.

1.2.1 Author-Centred Perspectives

Author-centred theories focus narrowly on authorial intention and assimilation of literary tradition, prioritising the author as the creative agent in bringing about intertextuality within the literary text. One issue that these theories are compelled to address is the reason for the manifestation of intertextuality itself. Focusing on the specific manifestations of intertextuality rather than on generic intertextuality, these theorists ask what it is that impels a writer to “borrow” already-written material and incorporate it into his/her own creative effort. In post-Romantic literature, this kind
of intertextuality is interpreted by some as the sign of an intellectual and creative crisis, a result of a general literary saturation and the depletion of original themes and literary devices. Normally in the format of “source criticism”, many studies have been produced by those taking this view, particularly among the New Critics and the Yale school of criticism.8

Harold Bloom is the main figure in this “source criticism” approach. His interpretation of the motives for intertextual reference closely fits this “intellectual crisis” approach, but it also draws on psychoanalysis. Bloom adopts an Oedipal model for literary evolution, structured on Freudian analogies, as an explanation for intertextual borrowing. He effectively transforms intertextuality from Barthes’s endless series of anonymous codes and citations into an Oedipal confrontation between a poet and his/her major predecessor. The starting point of The Anxiety of Influence is the individual creative writer’s anxiety to distance himself from his predecessors (appearing as “father figures”), who are perceived as antagonistic insofar as they have already achieved their own literary identity.9 A conflict arises in the mind of the later writer between reverence for those literary models and the desire to do something entirely new and different. As David Lodge observes, the writer cannot escape “the sense [...] of the daunting weight of the literary tradition he has inherited, the necessity and yet seeming impossibility of doing something in writing that has not been done before”.10 Eventually, according to Bloom, the compulsion to break out of the existing moulds takes the writer in different intertextual directions, from “extension” of a predecessor’s work (Jean Rhys’s Wide Sargasso Sea is a valid example) to complete reversal of literary codes (as in David

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8 A discussion of the concepts of influence and intertextuality, and of the differences between them can be found in Jay Clayton and Eric Rothstein’s essay “Figures in the Corpus: Theories of Influence and Intertextuality”, in Influence and Intertextuality in Literary History, ed. by Jay Clayton and Eric Rothstein (Madison: University of Wisconsin Press, 1991), pp. 3-36.
Lodge’s academic satires, for instance). The text is thus an intertextual construct, conceived in terms of other texts which it prolongs, transforms or sublimates. Bloom’s interpretation goes beyond the critique of sources by incorporating the author as a conscious agent of innovation. In his view, the writer’s impulse to turn to existing authoritative figures appears as a manifestation of the creative crisis, but the possibility of originality is reasserted through the innovative developments that finally constitute a text’s filiation.

Bloom’s theory accounts for the influence of particular texts or authors on other writers, but it does not account for the diffuse influence that comes from literary tradition or generic conventions, systemic features which cannot be ascribed to a single “father figure”. Under this light, texts usually presuppose more than a single precursor, if only because reading and writing are only possible through a series of literary acts, both in potential and actual form, that constitute literature’s matrix of discursive possibilities and conventions. From a wider angle, Bloom does not contemplate the role of external factors in the literary process, not only in historical and social terms, but more importantly in relation to his all-important author figure, who is regarded as a mainly literary entity without any reference to issues of gender, race, nationality, status and so on. Yet again, the kinds of theory that emphasise authors being influenced by or influencing other writers strengthen the idea of literary authority and diminish the activity and role of the readers, overlooking their freedom of interpretation and response.

1.2.2 Text-Centred Perspectives

In contrast to the author-centred approaches, other theories of literary intertextuality take their lead from Kristeva’s text-oriented perspective. These theories consider intertextuality not in connection with an author’s creative crisis, but rather as
something that arises from a writer’s exploration of his/her own capacity for innovation, with reference to pre-existing literary works or models. For those critics who take this view and consider contemporary modes of writing the logical outcome of a postmodernist poetics, intertextuality is a sign of the vitality of a literary practice that engages in playful innovation through transformation and subversion (“carnivalisation”) of existing literary elements. Although in their view of the mechanics of intertextual relations these theories are indebted to Kristeva’s view of semiotic intertextuality as exclusively text-dependent, most of them also contemplate, to a larger or lesser extent, the role of the author in deliberately shaping his/her text.

As the focus shifts from how an author is influenced by his/her predecessors to how one text relates to other texts and literary elements, attention is called to the type of intertextual links that are established between texts, and the relationships that are channelled through them. Of particular importance within this perspective is Gérard Genette’s taxonomy of intertextual relations in literary texts. In his three major books Palimpsests, The Architext and Paratexts, Genette draws up a consistent theory of intertextuality – for which he uses the more inclusive “umbrella” term transtextuality – following the models of structural poetics. Genette’s transtextuality includes everything that influences a text implicitly or explicitly: not only other texts, but also all the literary resources that include genres, themes, types of discourse and modes of enunciation, elements to which the French theorist Laurent Jenny had earlier given the label archetypes. According to Genette, the ability to use and grow from these existing resources is the defining characteristic of literature; indeed, throughout his three books on intertextuality, he redefines the

study of poetics as a study of the relationships that link the text with the network of existing literary entities (the “architext”) out of which it produces its meaning.\textsuperscript{12}

Within transtextuality are found five different types of intertextual relations.\textsuperscript{13} The first one Genette labels intertextuality, but its extension is much more restricted than Julia Kristeva’s homonymous concept. Genette’s intertextuality covers the active co-presence of two texts, including phenomena such as quotation, plagiarism and allusion. Instead of engaging with multi-level semiotic processes of signification, this category defines a highly visible and determinable relationship between concrete texts. His second division, paratextuality, defines the relations between the body of a text and accompanying elements that contribute to informing the reader about the text, and to guiding its reception. The paratext category contains the peritext, that is, elements “around the text” such as covers, titles, epigraphs, prologues, illustrations, notes and epilogues; and the epitext or elements “outside the text”, such as interviews, publicity, reviews and other types of external discussion. The relationship between the text and these other original materials fulfils a clarifying function, since there is extra information, external to the text, to be conveyed by them. Paratextual elements alert readers as to what kind of text is before them, and prompt them in some way towards one or another kind of reading and expectations. The category of metatextuality refers to the relationship between the commentary or critical text, and the text that is the object of such commentary. This type of transtextuality occurs very pointedly in texts where “fiction speaks about fiction”, e.g. where characters reflect on issues of texts, narrative constructs and literary discourse; or where a text is a comment on another text.

\textsuperscript{13} Genette, \textit{Palimpsests}, pp. 1-5.
Genette’s fourth category, *architextuality*, is the quality that ascribes a text to a certain genre, that is, it is closely connected with the existence of a repertoire of general or overarching literary categories from which all texts derive the elements that allow their identification with reference to the genre system. This involves the existence of paratextual elements through which a text can indicate its generic filiation, and often of patent intertextual links and metafictional manifestations. The architexts are therefore the basic building-blocks of literature, forming the implicit models that are found in readers’ horizons of expectations about what a novel is, or a satire, a comedy, or a sonnet. The difficulty that this category presents, however, is that these building-blocks cannot be assumed to be static or unchanging. On the contrary, as I shall discuss in Chapter 2, these bases of literature are seen to evolve over time, as do the perceptions and attitudes of the readers. Hence Genette’s interest in anchoring the text further within a web of relationships defined by his other categories. Lastly, *hypertextuality* is the relationship through which one pre-existing text, which he names *hypotext*, serves as the basis for another, new, *hypertext*, which is grafted onto it.\(^\text{14}\) It is a form of narrative derivation implying a certain degree of transformation. What Genette calls the *hypotext* is most commonly referred to by other critics as the *intertext*, that is, the underlying text that constitutes a major source of signification for a hypertext. The relationship between them is illustrated by the contemporary phenomenon of film adaptations of written texts. For Genette, hypertextuality has the specific merit of energetically projecting pre-texts into new and different circuits of meaning and significance.

Although the boundaries between them are sometimes not clear and the model is somewhat static, Genette’s categories of intertextual relationships are very useful in establishing that not all texts relate to others in the same way. Some of the

\(^{14}\) The relationship between these two texts in Genette’s model evokes the Kristevan distinction between genotext and phenotext, which she develops in *Semiotiké*. 
relationships he describes are purely textual, such as paratextuality and intertextuality, while others implicate social factors, such as architextuality, which involves the existence of literary conventions that delimit the boundaries between genres and thus emphasises the roles of the author, the reader and the interpretive community.

Stressing authorial implication slightly more than Genette, the French theorist Laurent Jenny sites the author within the range of factors that condition intertextual generation. Earlier by a few years than Genette’s classification, in his influential article “La Stratégie de la forme”, he argued that the phenomenon of literary production and reception can only be comprehended in relation to archetypes abstracted from long series of previous texts whence they emerge as constants.15 Jenny’s term “archetype” is a broad category that includes literary genres, themes, modes of enunciation, discursive practices and so on, and it is possible that Genette had it in mind when developing his category of architextuality. According to Jenny, these seminal archetypes emerge from historical literary practice and become implicit “models” to which all other texts relate in different ways: through materialisation, modification, subversion or even negation. The writer, in Jenny’s view, must necessarily steer a course in relation to these models, whether s/he is consciously aware of them or not. This type of intertextuality is not always explicit on a formal level, leading Jenny to remark: “Si l’on a pu omettre si longtemps cet aspect de l’oeuvre littéraire c’est tout simplement parce que son code aveuglait à force d’évidence”.16 In other words, it is taken for granted. However, it becomes explicit when a text allows its relationship to other texts to transpire on the textual surface. In these cases, the intertextual reference works in two directions. A text can have its intertextual determinants directed towards a particular text – what Genette

would call intertextuality “proper” and I have labelled “specific intertextuality” – but at the same time it always establishes a paradigmatic link towards a certain type of textual discourse: all other texts that constitute its own genre, or what Genette would label “architextuality”.

The result of this is that the architextual codes (structures pertaining to genre, discursive mode, and so on) become significant in each text, and convey part of the message. From Jenny’s perspective (and from Genette’s subsequent one), the processes of intertextuality invariably involve a recycling of previous literary structures, which take on new functions and meaning within the new context. In this sense, any literary entity is ultimately bound to establish intertextual links on a genre level with an archetype just in order to start functioning. But it is only the discourse of intertextuality, both as a creative and as a critical practice, that calls attention precisely to the inherent intertextual capacity of any text. The discourse of intertextuality liberates the writer from conventional literary constraints by exposing them, and allows him/her to use them in order to advance his/her own literary agenda. Ultimately, the creative act of the writer produces not a confused and mysterious addition of sources and/or influences, but a transformation and assimilation of many texts effected by one central text – the text at hand – that maintains the “guidance of meaning”.¹⁷

1.2.3 Readers and Conventions

Jenny’s notion of the “guidance of meaning” brings his theory into close contact with those reader-oriented theories of intertextuality that attempt to combine authorial intention and reader intervention in order to account for the role of the reader in the decoding and comprehension of intertextual instances. These

approaches, as I suggested earlier on, are the best suited to an investigation such as mine, which examines the passage of a text through several stages of coding, decoding and recoding. This form of investigation inherently demands the siting of active agents in reference to the text at each stage of the passage (ST writer, translator-as-reader, translator-as-rewriter, and target reader, at the very least). The intertextuality theories that engage us in this section are consistent with such a research approach because, while they place the physical origin of the text with an author, they also consider the reader a co-producer of the text’s meaning, influenced by his/her own socio-cultural context.

Reader-oriented theories of literature stress the role of interpretation on the part of an individual reader (reader-response theories) or of a socio-historical community (what has been called reception studies). This position allows for the entrance of extraneous texts into the textual space via both the author and the reader, thereby offering an explanation of why texts in which an author may have intentionally encoded certain intertextual connections may be decoded as something quite different – and the intertextual connections may be overlooked or interpreted differently – by different readers who bring their own cultural baggage to the reading of the text. From the reader-centred perspective, a writer can promote a certain reading through his/her textual choices, and certainly exerts control over the process of text production at his/her “material” end of the process, but that does not guarantee a particular reading at the “receiving” end. In this respect, Michael Worton and Judith Still argue that “a text is available only through some process of reading; what is produced at the moment of reading is due to cross-fertilisation of the packaged material (a book, for instance) by all the texts the reader brings to it”.\(^\text{18}\)

These reflections point out a definite advantage in taking into account the reader’s

production of the text when analysing intertextuality. Furthermore, they are clearly applicable to the translation situation, where the production of textual meaning is ultimately brought about in a culturally contextualised process of reading/decoding which normally takes place far beyond the reach or control of the ST author and which is usually, at the very least, a twice-removed process of textual interpretation (by the translator and by the target reader).

A key referent in the reader-centred approach to intertextuality is Michael Riffaterre, who is committed to studying the reading performance, or how textual meaning is produced as the result of the encounter of one particular text with a reader. For Riffaterre, a text always has a meaning in relation only to other texts, and not in relation to any external "real" referent. Those other texts that traverse the weave of the text in the eyes of the reader are its intertext, and intertextuality is "the web of functions that constitutes and regulates the relationship between text and intertext".¹⁹

Riffaterre speaks of two different levels of reading. The first one is mimetic, a linear kind of reading where the reader attempts to relate the linguistic signs and structures that are found in the text directly to external real-life referents. However, the reader of the literary text necessarily encounters certain indeterminacies or difficulties in the reading, words or phrases that clash in the context of their accompanying signs, and are perceived as obscure or contradictory. These indeterminate signs are what Riffaterre calls "ungrammaticalities", and they function by alerting readers to a meaning or pattern that lies beyond the referential level of the text: the intertext. Since readers know, or at least presuppose, that a text is a meaningful whole, and that the communicative norms of relevance and cohesion apply to literary texts as

well as to everyday language, they will normally go to great lengths to make sense of textual segments that seem strange at first sight, and devote considerable effort to the interpretation of inconsistencies. As a result, in order to make sense of the text’s ungrammaticalities, the reader resorts to a deeper semiotic level where the solution lies as a *matrix*, a core notion or kernel (word or phrase) which may not appear in the text itself, but which fills in all the gaps and offers the key to the significance of the text. Recognising the matrix, the reader arrives retroactively at the underlying semiotic reading that resolves the ungrammaticalities that were found on the mimetic level.\(^{20}\) It is important to note that, though conceding to the reader a central role as discoverer of the intertext, Riffaterre insists on the control exerted by the text (and, indirectly, by the sociolect). In fact, he maintains that the intertext leaves a permanent trace on the text pointing to the matrix, which governs the decoding of the message.\(^{21}\) In this way, he reinforces the notion that meaning and intertextuality are stable and can be interpreted in the same way by any reader.

Riffaterre places the origin of ungrammaticalities and their recognition by the reader on the transformation of the sociolect or socially-established discourse. In order to assert this, Riffaterre assumes that there exists a general sociolect for a community and that an adequate mastery of it provides readers in that community with a particular linguistic and literary competence. This competence enables the reader to perceive at once the ungrammaticalities or “bumps” in the fabric of the text where an aspect of the sociolect is being transformed. This notion of the communal sociolect, however, represents a weak point in Riffaterre’s theory, for even he cannot disregard the obvious fact that different readers come from different literary and cultural traditions, and that they evince different levels of literary competence, as Jay Clayton and Eric Rothstein argue.\(^{22}\)

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On this account, Riffaterre ultimately acknowledges that the fact that the intertext imposes itself on the reader does not imply that it is permanent and unaffected by change. On the contrary, recognition by particular readers is to some extent linked to historical change in audiences, to a reader’s expectations and knowledge. He admits that although ungrammaticalities will always compel readers to engage actively in some kind of deciphering exercise, it is obvious that this task is facilitated by familiarity with the culture the text reflects, or by off-chance encounters with the references despite geographical or chronological distance.²³ As Nils Enkvist has observed, readers who encounter textual mystification may be willing to give up if no hypotheses as to possible cohesion can be maintained. As a result they may either dismiss the text as deviant beyond reason, or, more humbly, attribute the break in communication to their own interpretive inadequacies.²⁴ In short, when the availability of the original intertext is affected by chronological, cultural, or social changes, readers may increasingly dismiss the slight resistance caused by the presence of an intertextual trace, thereby failing to read the text in its semiotic level as well as its mimetic one. This aspect of reading intertextuality is particularly important when processes such as translation intervene which uproot the text from the original context in which it was written and read.²⁵

With these inconsistencies, it appears to critics such as Graham Allen that Riffaterre’s model is too heavily dependent on an ideal implied reader who has full knowledge of the sociolect as well as the perceptive capacities to perform a

²⁵ In this respect, Riffaterre does eventually make a distinction between obligatory and aleatory intertextuality, i.e. the form of intertextuality that imposes itself on the reader’s perception by being programmatically activated in the text through ungrammatical occurrences, and the form in which the reader’s interpretive capacity potentially creates an excess in the actualisation of the intertext, allowing him/her to read a text through arbitrary associations with any other familiar texts.
successful decoding of a text. Even if Riffaterre is not referring to actual knowledge of specific texts or canons, the fact remains that not all readers share the same sociolect, not to mention the same degree of literary competence. It would be even clearer in the case of translations that target-language readers cannot be expected to share Riffaterre’s proposed single homogeneous sociolect, and that they experience literature on the basis of their particular poetic and cognitive paradigms.

By implication, this argument brings to the fore several interlinked ideas. On the one hand, and contrary to Riffaterre’s assertions, it becomes clear that a text exerts only moderate control over its own authorially-intended decoding, since this decoding also depends on circumstances external to it, namely those of the reading process. On the other hand, a readership is variously situated within different historical, social, ideological and personal spheres. The interpretive potential for a text is enhanced by this variety of idiolects, in the socio-linguistic sense of the word. The notion of a single presupposed intertext that can be recovered thereby loses strength. The reading process might be guided by the peculiarities of a text, but there always exists the possibility of arbitrary (“aleatory”) intertextual readings. And since intertexts cannot be presupposed, the reader’s reactions to any text cannot be unfailingly steered.

Approaching the reading process from a slightly different angle, the views of both Stanley Fish and Jonathan Culler are remarkable for their emphasis on interpretive communities with differing responses to texts. Fish, in contrast to Riffaterre, starts out from the premise that a text on its own does not control or guide its own interpretation. Instead, Fish equates a work with the reader’s response to it. The core idea of his reading model is that to enquire about the meaning of a word,

phrase, or other element of a literary device is to enquire what its effect is within the work, and the only way to gauge the effect of a literary device is to give an account of how it is received, organised and generally experienced during a series of interpretive acts by the reader as s/he attempts to make sense of the text by positing various patterns and anticipating what follows.27

Fish argues that readers' interpretive strategies are dependent on an existing matrix of literary conventions that they have recourse to. Conventions, according to David Lewis, are those regularities of behaviour that recur in a community in a given situation, as a result of a generalised acknowledgement that these regularities of behaviour benefit the most members of that community when that situation occurs.28 The use of language, for instance, is a clear example of a convention, since it is produced because users know and expect that other users will be able to understand the same code and use it in the same manner. In an analogous way, literature, both as an institution and as an activity, functions on the basis of conventions and standard reading and writing operations that enable works to be produced and read as literature. Fish uses conventions as part of his theoretical basis, which makes reading a rule-governed, productive process, though one in which all rules lie beyond the control of the text itself.

It is knowledge of the rules that steers the response to the text. So, for example, Fish states that the description of a genre is to be considered as prediction of the shape of the response to it.29 Genres in this sense are therefore no longer taxonomic classes,

29 Stanley Fish, “How To Recognize a Poem When You See One”, in Is There a Text in This Class?: The Authority of Interpretive Communities (Cambridge, MA: Harvard University Press, 1980), pp. 322-37.
but groups of norms and expectations which help the reader to assign functions to
various elements in the work, and thus the “real” genres are those sets of categories
or norms required to account for the process of reading. By emphasising the social
importance of literary conventions, in his book *Is There a Text in This Class?*, Fish
argues for an *informed reader*, one who is able to generate interpretive responses
within a determined framework of literary competence. He assumes that this
framework is available to the whole interpretive community and ultimately shapes
the significance of a work in a given socio-historical setting. In other words, for
Fish, interpretation of a text is premised upon community, since there is a set of
literary conventions, active in any given community, that guarantee a certain degree
of commonality of response.

However, Fish’s model seems to presume a synchronic, homogeneous social
structure where conventions are available to most, if not all, members of the
community (the informed readers), and where any adequate interpretation is fully
and smoothly inscribed within the communal set of norms. A diachronic view of
literary reception, however, does not lend itself so easily to the application of Fish’s
abstract model. Indeed, if, as Robert Jauss suggested, horizons of expectations
change, it follows that the conventions attached to the decoding of literary texts
must change as well, therefore negating in an absolute way the possibility of
discrimination between correct and incorrect interpretations of a literary text.

This idea is at the root of Jonathan Culler’s assertion that, although literary texts
may be understood in similar ways by large sections of reading communities,
changing audiences with changing sets of conventions mean that the interpretive
basis changes through history.³⁰ When a work is published, it is read against a

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³⁰ Jonathan Culler, “Structuralism and Literature”, in *Contemporary Approaches to English Studies*,
background that is different from the background of subsequent readers, which again is different from the background of readers after that. Books that were widely popular when they were written will no longer be. What is conventional about a fiction will no longer be obvious, and a text may satisfy or disappoint the new expectations. In the case of intertextual connections with older texts, these texts may no longer be a part of the community’s literary competence or socially-established conventions, hence the horizons of expectations – to use Jauss’s term – are shifted. The key point in this case is that conventions and expectations usually remain the same, or change, at approximately the same rate for a great proportion of a community.

Culler’s arguments reinforce the role of shared literary competence within an interpretive community. This shared literary competence, in his view, is created by the conjunction of several socio-literary circumstances. Socio-culturally speaking, the whole institution of literature is based on the assumption that one can learn to be a competent reader of literary discourse, by achieving an understanding of certain procedures, conventions and assumptions. This learning process benefits from reader interaction, so that a reader can compare and contrast his/her reading operations with those employed by other readers, grasping through example or demonstration the kinds of reading strategies and questions they use. Consequently, for Culler, these assumed general reading conventions allow readers and critics to distinguish between interpretations that are more and less generally acceptable, or in other words, those that stay within the normal parameters of reading, and those that are arise from purely personal or anecdotal factors. After all, it is possible to bring someone to see that a specific interpretation of a text is a good one, a possibility that implies shared points of departure and common notions of how to read. Indeed,

Culler argues, the practice of literary criticism functions on the basis of assumed general operations of reading, which are precisely what enables critics to decide “what must be explicitly argued for, what will count as evidence for a particular interpretation and what would count as evidence against it”.32

A recapitulation of the preceding sections serves to highlight the nature of intertextuality and of the communicative relationship between author and reader, pointing out several interrelated conceptions that have important consequences for the theory, practice and criticism of translation. In the first place is Riffaterre’s belief that the reader crucially brings a certain socio-cultural perspective to the reading of a text, and of the many texts that traverse it. In the context of a translation, a target reader’s encounter with a text can never guarantee the interpretation of an assumed intertextual matrix – especially not as a static, unvarying, text-bound aspect – because the target reader’s socio-cultural context is significantly removed, in all senses, from the text’s originally intended reading situation. In the second place, Fish’s analysis of reader involvement in the production of textual meaning highlights the role of those assumptions, conventions and practices that are shared by a reading community, and that form the framework where individuals’ interpretations of texts are grounded; while Culler also focuses on reader communities and on how communities’ horizons of expectations may change. Both of these approaches are relevant to the study of intertextuality and translation.

To begin with, together with the notion of common assumptions, conventions and practices in a reading community comes a pre-existing knowledge of the specific literary texts that are significant for that community, whether as part of a canon or

32 Culler, The Pursuit of Signs, p. 125.
outside of it. The existence of these texts is linked with a community's conventional assumptions or approaches to reading in a double bind: the fact that those particular texts exist shapes the community's approach to the literary system (for instance by prompting a consensual perception of the campus novel as a distinct subgenre of the novel), while, in a parallel manner, other texts are written that derive their textuality from a deliberate engagement with the community's approach either by supporting or by opposing it (as is the case with some experimental types of novel). In translation, the text is disconnected from its original socio-literary intertextual web, and transplanted into a different socio-literary context which involves not only a change in terms of readers' horizons of expectations, but also a difference in how the text relates to other texts. On the one hand, those specific intertextual relations that are established within it – via allusions, quotations from texts belonging to its original cultural setting, and so on – may be deactivated due to a lack of familiarity in the TC of the SC items that are thus brought into play in the text; while on the other hand, a text thus transplanted is also removed from the reading assumptions that shaped its original production and reception. Having said that, the possibility of aleatory intertextuality is always existent, so that other texts belonging to the TC may be brought into play by the reader, or indeed the translator.

1.3 READERS AND ALLUSIVE INTERTEXTUALITY

The arguments presented in the preceding sections are compressed in Claudio Guillén's assertion that in the dialogic model of literary communication there are at least three languages engaged in dialogue: the writing subject, the addressee, whether external reader or internal narratee, and the exterior texts which compose the cultural context, past or present.\textsuperscript{33} The author may be the point of origin of a material text, but it seems clear that interpretation is circumscribed not only by the

author’s intention, but also by a grid of literary conventions and existing texts which
direct readers’ presuppositions and attitudes, and which change as the text’s context
changes. In this respect, Culler affirms that author-reader communication depends
on shared intertextual awareness when he states:

A text can be a poem only because certain possibilities exist within the
tradition; it is written in relation to other poems [...]. And similarly, a
poem presupposes conventions of reading which the author may work
against, which he can transform, but which are the conditions of
possibility of his discourse.  

The first part of this statement brings to the fore the matter of specific
intertextuality, especially in relation to an author’s choices and how they may point
to the existence of a pragmatic agenda. For example, as a novelist who is also a
literary critic, David Lodge has placed a definite emphasis on the intentional nature
of intertextual reference. In his essay on Milan Kundera, in After Bakhtin, he sets
the grounds of his argument thus:

Works of literature – in our era of civilization, at least – do not come
into being by accident. They are intentional acts, produced by
individual writers employing shared codes of signification [...],
projecting the work against the anticipated response of a hypothetical
reader.  

In his opinion, an author who wants a comic effect in a passage of narration will
seek the best way to make his/her audience smile or laugh, and in the same way, if
s/he wants the reader to form a certain connection with another text, s/he will
intentionally choose the strategy that best suits the text and him- or herself, in order
to mark that connection, for example by overcoding a character or situation. As an
example, in The Art Of Fiction Lodge recounts the echoes of Coleridge’s “The

34 Jonathan Culler, Structuralist Poetics: Structuralism, Linguistics, and the Study of Literature
35 David Lodge, “Milan Kundera and the Idea of the Author in Modern Criticism”, in After Bakhtin:
Rime of the Ancient Mariner” in Joseph Conrad’s *The Shadow-Line* (1917), suggesting that the intertextual echoes point to a definite knowledge of the poem on the part of Conrad, and that their reproduction is hardly a subconscious decision.\(^\text{36}\)

From the point of view of average readers’ current literary knowledge, the intertextual reference to Coleridge’s famous poem will be obvious to those readers with an active knowledge of English literature, while it will only take on a subliminal character through its effect on readers who have perhaps known the poem and then forgotten it (or who know it only through selective quotation), remaining opaque for those readers – for example in a TC context – who are not at all familiar with Coleridge’s poem. Even in this case, it can be argued with some certainty that, with this extratextual connection, Joseph Conrad was intending a particular effect on the perception of his text, and he is therefore partly responsible for guiding the readers’ strategies in a certain direction.

From this point of view, the fact that Lodge’s campus novels prominently contain distinct layers of literally meaningful intertextual reference, both in terms of generic connections and in terms of more specific links to texts and traditions of English literature, makes it highly relevant to this study to focus on just how the phenomenon of allusion works, what are its salient features and functions, and in which way it engages readers, all of which is explained in the following sections. As a side-note, the points that are outlined immediately below about the phenomenon of allusive intertextuality are general, i.e. they are applicable both to generic and to specific instances of intertextual referencing. However, some observations, for instance on “modified allusions”, are more clearly applicable to specific intertextuality than generic intertextuality. This imbalance is corrected in Chapter 2, which is dedicated to examining generic intertextuality of the kind that

establishes paradigmatic links between a text and others belonging to the same genre.

1.3.1 Features and Functions of Allusion

The term “allusion”, from the Latin allusio, has been consistently employed in Western literary terminology to designate this phenomenon of literary borrowing, despite theoretical attempts to delimit and subdivide its conceptual scope, as Joseph Pucci pointed out in *The Full-Knowing Reader*. Indeed, “allusion” is most commonly defined as any intertextual connection that points to another text and activates certain properties or characteristics that are inherent to that text. This loose definition is in keeping with Ziva Ben-Porat’s opinion that definitions of allusion are mostly based on common intuition rather than rigorous theoretical analysis.

Through such an open definition, “allusion”, or “literary allusion”, comes to function as an umbrella term for all forms of what I have previously called “specific intertextuality” – that which functions by explicitly or implicitly making reference to existing literary works, thereby establishing a textual relationship on the syntagmatic axis of the text and affecting its meaning; and it will be used in this sense henceforth. This subsection focuses on the main principles of allusion as a literary device, while the later headings focus on different forms of borrowing that are found under the cover term “allusion”, such as general allusion, modified allusion, quotation and citation.

It has already been established that the use of allusion in contemporary literature sparks a play of one text with others which are tangential to it, challenging a reader’s memory and cultural knowledge. The reader’s awareness of these

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properties modifies the allusive text, highlighting a wider network of intertextual relations. These associations, which are part of a text's connotations, supposedly belong within the common cultural knowledge of a reader community. Allusion as a literary device relies on its ability to evoke texts which are dormant in the reader's memory, so that upon recall, s/he can achieve a deeper comprehension of the text being read. Memory is what alerts the reader to an extraneous textual entity embedded in his/her text, which s/he will seek to identify. When a reader recognises an allusion, and identifies its origin and connotative meaning, the originating text benefits from a new lease of life, while the later text appears denser in its texture and more interesting for the reader.

A literary allusion is not merely a reproduction of some words or lines belonging to another, different text. On the contrary, several literature-dependent and reader-dependent conditions are joined together in an allusion to produce its illocutionary force. The most basic one is an element of erudition, primarily the erudition of the author who has included the allusion in his/her writing. In the opinion of Ritva Leppihalme, this purely erudite component is barely functional in contemporary literature, where the intersubjective relationship between author and reader is diluted as the relationship between text and reader is prioritised. Her assertion might be modified slightly by indicating that the erudite element of literary allusion acquires different functions on other textual levels, especially in those types of literature where it is characters that manifest their knowledge of literary tradition. An extreme example would be the main characters in Umberto Eco's *Foucault's Pendulum*, who constantly speak in quotations and are in fact incapable of perceiving the world unless it is through constant reference to the literary canons. The same device, to a lesser extent, is patent in academic novels where the main

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characters often resort to canonical texts to qualify or comment on other characters or events. The erudite component of allusion in this case becomes an aspect of the character that offsets other traits, such as their dissociation or evasion from reality.

A second component of allusion is also related to the text hierarchy that is established by the literary canon. Considering that the alluding text resorts precisely to a group of texts that is conventionally considered “superior” in quality to others, the evoked text implicitly dons a certain authority. The author of the alluding text can thus support his/her arguments with material that theoretically pre-empts dissension. As is the case with the erudite component, this lending of authority is more important in essays or critical texts than in contemporary novels, where allusions are filtered from the level of authorial intervention to the level of the characters, who use literary reference in order to support their own arguments or ideas within the plot. The authoritative effect is thus often also exploited for the benefit of characterisation.

The evocative potential of allusion, as the third major component, is perhaps the most influential factor determining an author’s decision to recur to it. From a pragmatic viewpoint, which is generally the author’s viewpoint, the communicative power of allusions depends on phenomena of relevance and implicature. In other words, the most basic function of an allusion in a literary text is to trigger mental processes of association in the reader. These intended mental processes can be of different nature, or seek different effects on a textual level, depending on the form, context and communicative purpose of the allusion. There have been several classifications of the functions of literary allusion, but ultimately it does not seem advisable to separate strictly the functions of allusion in a literary text, in view of
the multiplicity of associations they could generate. As suggested by Leppihalme, most allusions enrich the text in more than one way. For example, an allusion at a given moment may serve to define a character and by extension point to certain predictable developments in the story, while permeating everything with humour or irony. Nevertheless, it is possible to discern several patterns in the way allusions function within texts and in their effects or intended effects on the reader:

1) One of the more frequent purposes of an allusion, which is pointed out by Leppihalme, is to provide more depth to the character or characters it affects, delving into their psychology through the use of “borrowed” words. This means that when a character provides a reference to another literary text, the focus of the narrative falls onto his/her reading or knowledge, outlining his/her psychology, interests or obsessions, cultural level, or even social class, for instance opposing the use of witty references to the use of old or hackneyed phrases. Allusion employed by one character may also be intended to characterise another.

2) Similarly, allusion can illuminate areas of interpersonal relation between characters. This occurs when the reader’s knowledge of the evoked text is projected onto character interaction in the alluding text. Humour often plays a key role in the comparison of character dynamics, especially as a form of carnivalisation where the dynamics of the intertext are symmetrically reversed in the alluding text by characters taking on antithetical roles to those played by their evoked counterparts.

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41 This multilayering of associations is analysed in Stefan Morawski’s “The Basic Functions of Quotation”, in Sign, Language, Culture, ed. by A. J. Greimas and others (The Hague: Mouton, 1970), pp. 690-750; and in Jean Weisgerber’s “The Use of Quotations in Recent Literature”, Comparative Literature, 22 (1970), 36-45 (p. 44).
42 Leppihalme, Culture Bumps, pp. 31-32.
43 Leppihalme, Culture Bumps, p. 44.
3) Allusion often functions as a **clue to the story-line**, suggesting nuances or even subsequent developments of the plot. This occurs when the plot of the intertext is foregrounded so that it is remembered in comparison with the current events in the alluding text. This function usually originates with one of the two above, as plot development is normally coherent with characterisation and character interaction, and it is dependent on these two dimensions for textual plausibility.

### 1.3.2 Reading Allusion

The communicative principles of relevance and coherence ensure that a reader attempts to make sense of a text by integrating all available information into a coherent whole. In order to do this, s/he must fill in the gaps in the text through satisfactory speculations about the function and meaning of that information. When the reader recalls an alluded text or uncovers a literary reference, a complicity is established between reader and writer, and the literary text becomes a shared, participatory experience. In the case of the different types of allusion, the presence of an intertext is not always made explicit, much less its specific origin or initial context. As a result, it is of great importance for writer and readers to share a literary and cultural background that will warrant its comprehension. As I noted earlier, it is a fact of intertextual writing that the author attributes a certain literary competence to his/her audience when s/he expects certain literary allusions or quotations to be recognised. S/he also expects this competence to allow his/her readers to make up the adequate links from recognising the allusions.

However, according to scholars of intertextuality such as Jenny, not all readers are equally sensitive to intertexts. The reader’s sensitivity, Jenny affirms, partly depends on the socio-historical context, and partly on personal factors.44 Socio-

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historical context, as we have seen, creates conditions such as cultural memory and the dominant literary models, which favour certain modes of reading. Among personal factors we find social and cultural background, literary education and expectations about a text. In consequence, even within the ideal reading public which is assumed by the author, there are readers who will not carry out the expected associations. It is also true, and David Lodge is a prime example of it, that sometimes writers are aware of the diverse literary competences of their readers, and write certain passages with a view to their surface reading by those who do not have the specific literary knowledge, and their multi-level reading by those who do.

Ultimately, attempts to guide the reader must flounder on the elusive and case-specific character of allusion. Whereas on the one hand an allusion may be missed by a reader who does not see it or identify it, on the other hand, the intertext can be broadened (in an “aleatory” way, Riffaterre would say) by a knowledgeable reader whose memory is constantly addressed by the text. In this way, random reminiscences may be interpreted as part of what Riffaterre called the text’s obligatory or intended intertext. On the level of reading, in general terms, each allusion is a node that harbours an alternative. If the reader does not see the reference, s/he continues to read along the same syntagmatic axis, perceiving the node as a unidimensional segment of the text. According to Michael Worton and Judith Still, an undiscovered intertextual allusion remains “dormant” in that specific reading. On the other hand, if the reader discovers the reference and can decode it, textual continuity is expanded in a brief detour to an external frame of reference that adds depth to the text and illuminates new areas of meaning within it.

In her article “The Poetics of Literary Allusion”, Ben-Porat has described the different phases of recognition and decoding of literary allusions, in a process that extends from the identification of an allusive marker to the configuration of intertextual patterns. The allusive marker, defined by Ben-Porat as “the sign that points to another text”, triggers the associative process and directs the reader towards an extratextual point of reference. This marker may be integrated in a segment of the text, an image, the name of a character, or even the citation of the title of a work. The first phase in decoding a literary allusion, according to Ben-Porat, is one of recognition of the allusive marker that attends a sign (word or textual fragment). This allusive signal may be a distortion or transformation in relation to the original word or text, but it fulfils its evocative function. In the second step of the process, the evoked text, i.e. the origin of the marker, is identified by the reader. In the third phase, the initial interpretation of the marker, which was dependent on the surrounding text, is modified by the activation of the second, or evoked text. This activation reveals to the reader at least one link between texts, confirming their intertextual connection. The last step involves the complete activation of the alluded text, with the perception of numerous denotative elements and the formation of a maximum number of intertextual associations, which finally reveal the allusion’s meaning and significance.

It follows therefore that the reader must be able to identify the instance of textual referencing, in order to decode it and interpret it in relation to the overall context of the text that is being read. Reader response is thus partly dependent on how explicitly the allusion is signalled within the text, ranging from mention of the source or author in the co-text, to typographical distinction, to mere key words or

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47 Only in the cases of quotation and citation is the allusive marker entirely identical with the original text or fragment on a formal level, but a difference of meaning still exists due to the difference in their primary contexts, as was shown by Jorge Luis Borges with Pierre Ménard, autor del Quijote [1939] (Madrid: Cátedra, 1988).
phrases functioning as allusional markers. In addition, on the level of reader response, the reader’s ability to decode a reference is linked to the amount of exposure the s/he may have had to the literary sources that are referred to, but also to how little- or well-known these sources are in his/her socio-cultural context. In other words, even if the source of a reference is overtly stated, it may still be unfamiliar to the reader. Conversely, given a reference whose origin is not pointed out, the allusional marker in key words may be easily recognised by a reader who is familiar with the alluded text.

There is a distinct subtype of intertextual allusion that deserves separate mention. “Modified allusions” fulfil a composite function of conveying textual meaning plus humour or playfulness. Ritva Leppihalme has labelled this type of reference a “modified frame”. Following Herman Meyer’s *Poetics of Quotation*, she defines a frame as an instance of “preformed linguistic material”, within which she includes idioms, proverbs and fragments of quoted text. A modified frame, or modified allusion, is one such frame that is altered in a textually significant way, so that it departs from its original form but is still recognisable and identifiable, its original meaning still available to readers. The observable distancing of the modified frame from the preformed frame generates a playful effect that conveys further layers of meaning. Instances of modification of a frame range from substitution of lexical items from another semantic field, to whittling down the phrase to some key components or altering it syntactically for effect, for instance by changing the order of its elements.

Because modified allusions rely on wordplay to convey both the desired literary reference and a humorous reversal, it is necessary that the reader be able to pinpoint

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the allusion in order to activate its referential content. Therefore, the most important factor affecting reader response as regards a modified allusion is that it cannot be overmodified if it is to remain recognisable. Upon recognition, a reader who observes the contrast between the unmodified original frame and the modified one can respond with amusement or a deeper understanding of the characters and themes of a text, and in this way, as with other types of allusion, s/he becomes involved in playful co-operation in producing the desired effect. Because of this need for reader input in order to produce meaning, it is understood that an author who resorts to modified allusion, does so in the hope that at least one part of his/her reading public will decode it and appreciate it.

Bringing together the criteria of explicitness and reader familiarity, allusions can be roughly grouped in order of presumed availability for the reader, though such a categorisation will necessarily always misrepresent the subjective nature of literary competence and the individual variation in literary sensitivity. With this reservation, and taking into account visibility, status and familiarity issues, the present classification of allusions in three types is better understood as estimating to what degree readers could be expected to realise the intertextual connections an author intended, on a scale ranging between full activation of an allusion in its secondary layers of meaning, and failure to note the presence of an intertextual node at all. In this sense, an available allusion is one which is distinguished explicitly through indentation, quotation marks, naming of source or author, and where the evoked text is well-known enough to be – presumably – easily recalled by the reader. Recognition and interpretation of an available allusion ought to be almost instantaneous, as the easily identifiable marker triggers the association directly and the reader puts his/her literary competence to work.

49 Leppihalme, “Caught in the Frame”, p. 201.
Retrievable allusions can be of two different types. It may be that the allusion is pointed out overtly (quotes, indentation, names of sources) but the evoked text is very obscure. The reader may then be aware of the existence of an allusional marker (i.e. something that alerts him/her to the presence of an intertext), but s/he must make an extra effort to identify it in order to interpret what is the connection between texts. On the other hand, there might not be any explicit device flagging the allusion, but key words or phrases in the text that act as allusional markers, nudging the reader’s memory towards a well-known source. In this case, the allusion would be activated if the reader was somewhat familiar with the originating text and could recognise it, though recalling and interpreting it adequately may require an investigative effort. Lastly, an opaque allusion is one where the alluded text is both unmarked and obscure. If the allusion is not flagged in any way (except possibly by a style or syntax that departs slightly from the stylistic and syntactic norm of the text), and the originating text is not widely-known by the readership, the allusional markers are likely to go unnoticed, with the reader perceiving them almost as unidimensional and level with their co-text.

It ensues from the above classification that a crucial criterion for writers’ use and readers’ recognition of an allusion is the status of the alluded text – as a canonical work, for example – in the community that produces the alluding text. For instance, an English language writer can make references in his/her fiction to the most significant texts of English literature because the status of the latter in the literary system is something of a guarantee that the allusions will be identified and recognised by numbers of his/her English-language readers. On the other hand, with a situation where the alluding text is transferred into a different cultural environment, the criterion of status necessarily takes on a comparative dimension
involving the contrast between the status that the alluded texts may have achieved in their source literature, and their status as translations in the target system. In other words, the above English-language writer’s work may be transferred into a Spanish literary system where only the most central or popular of English literature texts will have become sufficiently well-known to guarantee any degree of recognition. The status of the alluded texts is hardly comparable in both systems. And it is even more restricted in the case of poetry, which is hardly a mainstream reader’s genre. Keats in Britain is definitely more popular and better-known than Keats in Spanish translation, and it is clear that differences in status entail differences in recognisability and significance, although, as has been already pointed out, readers’ competence can only ever be presumed.

This chapter has reviewed the nature and properties of intertextuality in literature, what it is, how it functions, and what its influence and effects are on texts, writers and reader communities. From this overview, intertextuality emerges as a meaning-generating element of much contemporary fiction, often with a writer’s clear intent behind its use. Indeed, as I will illustrate later, intertextuality constitutes an important text level in David Lodge’s campus novels. Therefore, from the point of view of translation and reception, it becomes essential to investigate how intertextuality fares in translation into Spanish, and how far the translation practices that have been followed could or do shape Spanish readers’ perceptions of the novels and their intertextual components. This investigation, as I have earlier indicated, follows two main lines of research: generic intertextuality, which I understand as establishing paradigmatic relationships between the Lodge novels in the case-study and others that also belong to the academic subgenre; and secondly, specific intertextuality, or the way in which Lodge’s novels make use of specific references and allusions to pre-existing texts. The next chapter settles the basis for
the generic intertextuality strand of my research, with a theoretical account of the
notion of genre, and why – and in what manner – texts are perceived by
communities as belonging in the same generic or subgeneric classes.
CHAPTER 2

GENRE

2.0 INTRODUCTION

To go back to Culler's statement on page 45, his assertion that "a poem presupposes conventions of reading" makes a reference to generic intertextuality by implying that genre conventions provide a reader with certain expectations and enable him/her to make sense of the text before him/her. Different genres therefore predispose readers to different expectations in terms of content, situation and action, moral and aesthetic values, but these expectations may be either confirmed or reversed. David Lodge also confirms this from the point of view of the novelist:

No book [...] has any meaning on its own, in a vacuum. The meaning of a book is in large part a product of its differences from and similarities to other books. If a novel did not bear some resemblance to other novels, we should not know how to read it, and if it wasn't different from all other novels, we shouldn't want to read it.²

Generic intertextuality – what Genette labelled "architextuality" – is the focus of this chapter. In it, I aim to elucidate what is the origin of the different historical notions, classifications and subclassifications of literary genres, as well as investigating its capacity for inclusivity or exclusivity, and the kind of ties (formal, thematic and so on) that connect members of a given genre, thereby creating its

¹ Culler, Structuralist Poetics, p. 116.
architextual web. Nevertheless, this chapter also aims to outline a notion of genre that moves beyond purely formal literary considerations into the sphere of socio-cultural contextualisation, since the perspective on literary genre as partly being socio-culturally inscribed and defined is of paramount importance for the study of how genre travels across literary and cultural systems via translation. It also foregrounds the reader (both SC reader and TC reader) in the literary process, as the hub of certain expectations and interpretive proclivities which are induced by factors of diverse nature – socio-cultural conventions, literary knowledge, textual sensitivity, personal experiences and so on. The role of all these elements is crucial in readers’ reception and interpretation of texts, especially from the angle of intertextual (generic and specific) connections.

In keeping with the intertextual slant of this investigation, I will first present several of these theories in chronological order in section 2.1, expanding on the developments of the twentieth century, and eventually, in section 2.2, I shall focus on those theories that are inscribed within the pragmatic and reader-response tradition. They interweave notions of socio-historical convention and evolution, societal awareness of prototypical and non-prototypical literary elements, and the Family Resemblance Theory, supporting a reflection on how the paradigmatic intertextual connections between texts belonging to the same literary genre both shape, and are shaped by, reader expectations.

2.1 HISTORICAL DEVELOPMENT OF WESTERN GENRE THEORIES

The concept of genre is one of the building blocks of literary studies. As a concept, and as a tool to classify reading matter, it is used frequently in everyday life, consciously or subconsciously. In fact, when asked about what they are currently reading, most people are able to begin their description of it by saying “It’s a novel
by Jeffrey Archer”, or “I’m reading a play by Lorca”. Some might go further and explain “It’s a historical novel”, or “This play is a modern tragedy”. But when asked to define just why they call it “novel” or “tragedy”, many will name some properties that they consider essential to the genre, and, upon the provision of examples that defy such properties, conclude that they can hardly generalise the common markers of its genre, and are unable to determine exactly how they have allocated the text to a class such as “novel” or “tragedy”. Ideas of genre may appear commonsensical but in fact they have often defied watertight definition.

At the academic level, this ambiguity inherent in the concept of genre, and its attendant issues, are accurately summed up in René Wellek’s question: “How can we arrive at a genre description from history without knowing beforehand what the genre is like, and how can we know a genre without its history, without a knowledge of its particular instances?” This double bind underlies every genre theory and has contributed to producing a number of divergent theoretical strands. In addition to Wellek’s fundamental query, these theories variously address other salient questions, such as: What is a genre? Are genres universal, or are they conventional? Where does genre take shape: in a text, in a reader’s mind, in an author’s mind or in a combination of all these? Do genres prompt or constrain the acts of writing and reading?

Going as far back as ancient Greece, an influential tradition has tried for over two thousand years to allocate literary works to a few or to many different genres. The specific issues on genre that have been discussed have been many and varied, as have been the positions taken by those aiming to produce an all-encompassing theory. The first key Western text to deal with the classification of literature is Book

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III in Plato’s *The Republic*. In it, Socrates classifies narratives according to the stylistic modes of *diegesis* (when a poet speaks out with his own voice), *mimesis* (when characters speak out for themselves), and a mixture of the two when the poet and the characters alternate as speakers. Socrates’s three-part distinction excludes thematic and formal features of narrative texts, but it influenced Aristotle’s subsequent division of genres into categories. According to Aristotle, different kinds of literature may be distinguished by several criteria. The criterion of “treatment of objects of imitation” yields the opposition between tragedy and comedy. The “means of imitation” criterion refers to the rhythm, melody, and meter of the composition. Finally, the “manner of imitation” criterion recovers the Platonic distinction of diegesis from mimesis. By combining these criteria, Aristotle constructed the first multi-level model of genre classification in Western literary theory.

The inheritance of the Greek tripartite models was perpetuated in the Renaissance as the triad “lyric, epic and dramatic”, and in post-Renaissance periods as “poetry, fiction and drama”. With genre becoming a major preoccupation for writers and critics of this period, there were plentiful analyses of the relative merits of the different genres, and hierarchies were established which either ratified or denied the supremacy of tragedy that had been advocated by Aristotle. The controversy persisted until the European neo-classical period, when established writers firmly subscribed to the belief that literary genres formed an ordered hierarchy, and were, as many other products of human agency, a reflection of hierarchic cosmogonies with established ranks and interrelationships. As a reaction to the neo-classical rigidity in observing generic rules, Romanticism brought a rejection of those norms, and at times even of the whole concept of genre. The Romantics only contemplated

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genre insofar as it related to the figure of the writer, and the particular form of a
genre was regarded as being related to the spirit of the times and the temperament
of that writer. Indeed, by stressing the autonomy of the writer and the individuality
of the literary work, Romanticism became aesthetically oriented to the point of
rejecting genre’s more prescriptive edge, and advocating a natural and free attitude
to creativity.

In the nineteenth and twentieth centuries, different definitions of literature provide
cues as to critics’ understanding of genre classifications, and how they work. There
are contrasting views in the demarcation of what is and what is not literary.
Aesthetically-oriented scholars, from Benedetto Croce to the formalists, and then on
to the New Critics, base their distinction on the premise that literature has certain
formal characteristics and patterns that distinguish it from other kinds of non-
literary discourse. Other critics such as Roman Jakobson, René Wellek and
Jonathan Culler take a more structuralist approach, emphasising the systemic nature
of literature over and above semantic or formal characteristics. Still others, from
Mikhail Bakhtin to Alastair Fowler and David Fishelov, take up a pragmatic
orientation, viewing literature as an act of communication, and genres as fulfilling
particular roles within communicative frameworks. Critics in this group are more
sociologically or culturally-oriented, taking their cue from Bakhtin’s work and
advocating that literature is a particular type of speech act. This socio-literary or
speech-act model involves contextualisation: the perception of literature and non-
literature depends on the external conditions surrounding the literary text, which
include both the general and the reader’s socio-historical conditions. These critics
therefore start off from the premise that literature is what is perceived as literature
by a certain group of people at a certain time, and by extension, their concept of
genre is linked to social perceptions and conventions, and is infused by theories of interpretation and reception.

2.1.1 The Aestheticists And Formalists

Perhaps the most radical of all aesthetically-oriented genre critics is Benedetto Croce, who resolutely considered generic classifications a waste of time, on the grounds that logical or scientific analysis of the work of art excluded the appreciation of its aesthetic form. Intuitive knowledge such as is expressed (or rather, "impressed") through literature and the arts can never be assigned to universal and abstract categories such as are used to articulate the conceptual knowledge of science and philosophy. According to Croce, genre categories constrain the reactions of the reader who is attempting to apply them to a work of art: they lead him/her from an intuitive to a logical response, but the coexistence of the two reactions is logically impossible. In addition, if every work of art is different and deviates in some way from the generic norms, attempts at formal classifications are not only misleading, but also irrelevant. Simultaneously with Croce, more moderate critics were reasserting the importance of genre. Renato Poggioli, for instance, defends the notion of an "unwritten poetics" responsible for the transmission of the literary norms that are valid during one historical period. During periods of "eclectic and decadent" creativity, the unwritten poetics will constitute a generic categorisation in itself, separate from and seemingly unrelated to the official genre categories. During the classical and neo-classical periods, however, the unwritten poetics will match the official one.

The formalist perception of the history of literature is that of a succession of systems that override each other in endless concatenation, because both each individual work and literature itself constitute a model which is subject to historical and social change. This change is reflected in the literary language, and more specifically in the choice and exploitation of a number of devices of different natures: formal, thematic, rhetorical and so on. The formalists deny that the influence of an author’s psychology or biography is relevant to the study of literature, and even socio-historical changes are only considered relevant for the shift from one system to another. It is therefore not surprising that formalist literary research concentrates mainly on the study of the device combinations in themselves and in relation to each other, with little connection to other phenomena around the text, artistic or otherwise.

Particularly in terms of genre, the formalists consider that every work of art has an individual discernible structure. They understand this structure as a set of devices, wherein the element “genre” stands out as a complex device or rather a combination of other well-defined devices. In this reduction, genre is understood to be simply the characteristic result of a build-up of devices. To explain the development of generic historiography, Boris Tomachevsky states that a literary genre privileges certain dominant features which are combined and articulated according to the author’s interest in certain compositional methods that have proven influential in the socio-historical context in which s/he writes.7 He notes that these compositional methods may well derive from a literary series (a “model” genre) which in his argument seems to have a largely thematic focus. Furthermore, he argues that genre evolves in a kind of “modified” repetition – a concept which seems to amplify the notion of ostranenie or defamiliarisation present in other formalist works. The cause or

7 Boris Tomachevsky, Teoría de la literatura, trans. by Marcial Suárez (Madrid: Akal, 1982).
historical moment that originally gave rise to a genre may have become blurred or disappeared; however, genre seems to continue existing "genetically", possibly undergoing slow modification of its characteristics through history, but continually giving rise to new texts that will aggregate themselves to existing genres.

2.1.2 The Structuralists

There is a clear connection between structuralism and the formalism that preceded it. In fact, it was the Russian formalist critic Jurij Tynjanov who anticipated the structuralist tendencies of the Prague School in the conception of literature as a coherent yet dynamic structure. Tynjanov thought of literature as a complex system with its components (some of them, like genres, separate "orders" in themselves) continually interrelated in dynamic tension. The system is such that its components do not coexist but struggle for pre-eminence at any given moment. Therefore, in the literary system and in the organisation of genres, the most conspicuous elements are those which assert their dominance through time and establish the hierarchy. Tynjanov’s model is important in that it observes the literary system and its evolution from the double perspective of synchrony and diachrony, shedding light on the tensions between co-existing elements, but also on the changes that such tensions bring to the system over time.

Structuralism took on the formalist emphasis on "literature as system" and adapted it to study the interrelationships between different elements within a genre, and between genre and other elements in the system. The structuralists are not so much concerned with theme or character development in texts, but with deeper underlying structures where we find binary oppositions such as that between nature and culture, or static versus dynamic. In this line, although he does not in a strict sense belong to

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8 See Tynjanov, “Sobre la evolución literaria”.
9 This expression was borrowed by Claudio Guillén for his book Literature as System.
either the French or the Czech structuralist tradition, Northrop Frye undertook a mapping-out of genres along structuralist lines, establishing a multi-layered, polycentric model of the generic universe. Underlying much of Frye’s writing is the conviction that the central task of the literary critic is to classify the totality of literature. In his *Anatomy of Criticism*, Frye develops a whole system of interlocking categories, which are in turn to be understood by means of the patterns of archetypal imagery that concern him.\(^\text{10}\) In his system, the category of genre emerges as a redefinition of Aristotle’s “manner of imitation”, the fashion in which the events in the plot are presented: even if printed on the page, drama invariably presents the characters as speaking for themselves in front of us, and epic maintains the conventions of recitation. With this model, Frye intends to expose the objective patterns of literature, on the assumption that it is sustained by total coherence, but he avoids any kind of value judgements on it. His claim is that the study of literature should not be founded on value judgements, because it is value judgements that are shaped by the knowledge and appreciation of literature. For Frye, literature is a system that readily lends itself to scientific analysis, and literary forms constitute the types that prescribe and shape the work of art, not the predilections of a writer.

For his part, Tzvetan Todorov aims to dismantle the essentialist differentiation between traditional literary and non-literary texts. Referring back to Northrop Frye’s generic scheme, Todorov suggests that Frye makes the mistake of schematising so-called literary forms on the basis of non-literary qualities like the moral worth of the hero or the nature of his environment.\(^\text{11}\) The presupposed importance of these non-literary qualities, Todorov asserts, is carried over from


obsolete classifications of genre that are unable to surmount their historical limitations. For Todorov, a distinction must be made between “historical” genres, which are abstracted from real historical texts and “theoretical” genres which are construed from a theory of literature. Historical genre theory will always be a descriptive model that will function for the classification of existing texts. Theoretical genres, on the other hand, aim to be universally functional. By suggesting that readers should interpret all observable aspects of the work as a manifestation of an abstract construct which is a mental construction, Todorov proposes a theoretical framework and a dialectical approach to concrete historical genres that both achieves theoretical consistency and adequately describes historical genres, in a continuous oscillation between description of phenomena and theoretical abstraction:

The genres we deduce from theory must be verified by reference to the texts: if our deductions fail to correspond to any work, we are on a false trail. On the other hand, the genres which we encounter in literary history must be subject to the explanation of a coherent theory; otherwise we remain imprisoned by prejudices transmitted from century to century.12

As a complement to his theory, Todorov develops some formalist ideas, especially along Tynjanov’s theoretical lines. He stresses the role of conflict in generic change, which for him happens through a kind of “rebellion” against previously established generic forms. It is this transgression that gives genre its relevance, for a work receives this kind of “transgressor” qualification precisely in comparison to its contemporary concepts of genre. Rejecting the model of biological evolution, Todorov suggests that each new literary progeny, unlike each new biological one, modifies its genre. This evolution, however, does not occur in predictable or orderly patterns, as if rearranging given elements. The modification in the successor form,

for instance, may involve the centring of an element that was not obligatory in the
previous "parent" form, with, for example, the novel genre giving rise to the spy
novel, the academic novel, the historical novel and so on. Genre does not conform
to structural logic. In Todorov's words: "The poetics of classicism was wasting its
time seeking a logical classification of genres".\textsuperscript{13}

2.2 GENRE AS SOCIAL ACT

An approach to genre as a socially-conditioned literary entity must needs begin with
a summary of Mikhail Bakhtin's ideas on literature, genres and their social
dimension. Veering away from his formalist contemporaries in the early twentieth
century, Mikhail Bakhtin further disrupted the existing taxonomy of literary genres
by bringing to bear his dialogic model on to the classification of genres and further
developing a theory of speech genres.\textsuperscript{14} Bakhtin's critique of formalism is based on
its short-sightedness in trying to delimit the essence of literary language by leaving
aside the real object of a poetics: the literary work in conjunction with the other
components that originate, condition and site it. Bakhtin crucially maintains that
there exist overarching religious, social, ethical and historical issues which
influence an individual writer's behaviour and character, and therefore his/her work.
Bringing in his notion of heteroglossia, Bakhtin focuses on the various styles of
language that co-exist in one given society at a given moment. This provides the
necessary framework for the description and characterisation of literary genres as
inherently dependent on a socio-historical linguistic form. Particular genres can be
differentiated by the selective use they make of the available styles, so that a given
genre is commonly associated with certain discursive styles.

\textsuperscript{13} Tzvetan Todorov, \textit{The Poetics of Prose}, trans. by Richard Howard (Oxford: Basil Blackwell,
\textsuperscript{14} For the notions of "dialogism" and "heteroglossia", see Bakhtin, "Discourse in the Novel" in \textit{The
Dialogic Imagination}, pp. 259-422. For the notion of "carnival", see Bakhtin, \textit{Rabelais and His World},
In Bakhtin’s view, and in opposition to formalist ideas, literary genres specifically should be studied not in terms of their exceptional literary and artistic features, or of the differences that distinguish one from the other within the realm of literature, but as specific types of utterances, distinct from other types yet sharing with them a common linguistic nature. His theory assimilates literary works to all other types of communicative utterances, which are produced within a social context and can be understood as having locutionary value in what is being said, illocutionary value in how the utterance is meant to influence the receivers, and perlocutionary value in the effect that the utterance ultimately has on the receivers. Accordingly, with speech genres, Bakhtin reiterates the dialogic quality of all writing, which he regards as invariably being a response to a rhetorical situation, to the existence of previous utterances, and addressed to an anticipated audience and their responses. Treating genre as collective, he brings to his theory a socially, historically and intertextually determined element of reception and response. Bakhtin’s essential statement about genre, Clive Thomson points out, is therefore that genres take their place in the social life of utterance, and that any study of genres should be carried out within this collective dimension.15 As his main concern in the field of literary genres, Bakhtin is conscious that at the heart of the problem lies the question of repetition. How does a recognisable instance of a genre repeat the genre form? Although the question is obviously prompted by formalism’s idea of modified repetition, for Bakhtin, as for Todorov, it is a matter not so much of repetition as of transformation: each instance of a genre must be understood as a new creative act which diverges from a genre model that can still be traced in that work. Furthermore, generic transformations are grounded in social change: they are simultaneously archaic and constantly transformed and renewed.

2.3 GENRE AS SOCIAL CONVENTION

Establishing a link to the Bakhtinian notions of genre as a social act, some structuralist theorists have chosen to stress the institutional perspective in literature. Jonathan Culler, as we saw in Chapter 1, argues that conventions in literature are precisely what give meaning to literary processes of production and reception. The central principle informing his arguments is that we cannot grasp all the meaning of a text merely by studying its linguistic patterns, as certain structuralists claimed. We should instead recognise that several external codes and systems influence both author and reader. Among these codes and systems is genre, which Culler considers a “conventional function of language, a particular relation to the world which serves as a norm or expectation to guide the reader in his [sic] encounter with the text”.

Culler proceeds to discuss some of the functions of genre and in doing so demonstrates the role he believes genre systems should assume in a poetics based on structural principles, or in other words, how generic elements govern and direct the reading of any literary work. For Culler, the function of genre conventions is essentially to establish a contract between writer and reader, so as to make certain relevant expectations operative and thus to permit intelligibility. One such function genre can assume, he suggests, is to establish the vraisemblable: what is permitted to happen in a text that belongs to a certain genre – it would be impossible to include an element of magic in a spy novel, even though they are both fiction. In short, Culler says that what should be studied about genre is not its form as such, but rather how elements of that form govern the reading of the work and associated reader expectations.

It was already noted in Chapter 1 that emphasis on individuals’ reading processes constitutes the core of Stanley Fish’s reader-oriented theory of genre recognition.

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16 Culler, Structuralist Poetics, p. 136.
He puts forward the notion that "acts of recognition, rather than being triggered by formal characteristics, are their source". As his theoretical basis, he maintains that as readers we first recognise a text as belonging to a genre, and then we are accordingly compelled to read into it certain formal features. Fish's observations are upheld by an experiment he himself conducted in his classroom, where a random set of words was presented to his class as a poem, and they were asked to analyse it as such. They all did, reading into the "poem" certain formal features that justified, in their eyes, its ascription to a poetic genre. Fish's central idea has been contradicted by Tony Bex, who considers that the mechanics of reading a genre work precisely the other way around: formal characteristics set off the act of recognition of a text as belonging to a genre. According to Bex, Fish's experiment was crucially flawed: he overlooked the weight of his authority as a professor, and the fact that by signalling to the students that this was a poem for analysis, he himself prompted the students into an act of recognition that triggered their motivated search for such formal characteristics as students of literature are accustomed to associating with poetry. Thus, Bex argues that Fish's initial act of recognition did not spontaneously happen to begin with, and his experimental subjects were in some way conditioned to behave as he expected. For Bex, normal readers outside of such specifically academic context will recognise a poem by first identifying the formal characteristics that they already conventionally associate with poetry.

But Bex admits that there is some validity to Fish's conclusions. There are two basic statements to be derived from his experiment: firstly, that all interpretations of literary phenomena are based on the assumptions of an interpretive community, and different communities may interpret the phenomena differently. Having been told

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17 Fish, "How To Recognise a Poem When You See One", p. 326.
by their professor that the list on the board was a poem, Fish’s literature students assumed it was, and set to work decoding it accordingly. However, a class of science students with no training in literary analysis would have probably found it very difficult to assume that the list of random words was really a poem, and might have questioned it seriously to begin with. Bex’s second statement refers to Fish’s affirmation that the interpretation of any given text is a function of the interpretive community and is relatively unconstrained by the formal nature of the text. Bex suggests that the key word here is “relatively” for, as he himself has proved in relation to the most extreme exponents of concrete poetry, the formal nature of a text, insofar as it is language-based, constrains interpretation to a greater extent than Fish seems to allow; communication would otherwise be a rather hit-and-miss affair. Precisely in order to prevent misunderstanding, the words or formal characteristics of any given text are normally carefully chosen to promote the reception of a text as its author intends.

Bex’s ultimate argument is that if a text is given an adequate context, it will probably be interpreted following the norms of the genres which are relevant in that context. Far from being produced in the text solely by the reader, genres belong to the conventionally-established communicational knowledge of a community, where it is assumed that a speaker/writer’s choices are meaningful in some way. It appears therefore that social conventions are primary factors in a readership’s constitution of genres. These conventions are understood as an agreement, a shared literary strategy of the participants in literary communication, such as Culler proposed in *The Pursuit of Signs*.21

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21 See page 42 above.
In the matter of where conventions come from, or how readers internalise them, Adena Rosmarin also agrees with Culler’s analysis of conventional shared literary competence, by arguing that a reader’s choice to classify a text within a given genre is always determined by what s/he knows and thinks about existing genre taxonomies, which is not “natural” but always already devised by the critical languages that s/he is aware of when literature is discussed. Approaching a text with ready-made ideas about genre, what is read into the text is somehow what the reader “chooses” to read into it. This points to the role of shared knowledge, relational learning, and the influence of the educational system in the reinforcement of reading conventions and the foundation of a shared background of literary texts which are well-known in a community. In fact, in the scope of interpretive possibilities, we are conditioned in our choices not only by constraints of a generic or literary nature, but by social, contextual and historical constraints and conventions as well. In short, the generic traits that we perceive in a text are determined by what we already know about genres, and what we know about them is actually a mix of previous socio-historical and critical concepts.

Conventions connect the contexts of production and of reception, defining the aspects that both have in common and generating meaningful interpretation. Convention thus appears to be the reason behind the regularity of perception and the shared expectations within a community at a given moment. Desirable effects of this include a relatively common ground from which genre and literature can be discussed, and a fairly straightforward classification of reading matter in the context of book publishing and marketing. As Malcolm Bradbury puts it, “publishers, and the publics they speak for, like genres and subgenres even more than we critics do,

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so that they can tell what they are marketing or buying". Furthermore, community conventions mean that different genres predispose the reader to different attitudes and notions. They also lead to different expectations of types of situations and actions, psychological, moral and aesthetic content within a text. As Mary Talbot remarks, genre sets up the relationship between writer and reader, in other words, it is both parties’ knowledge of the genre and its associated expectations that sets the framework for a text’s properties and dynamics.

This becomes a crucial issue in the context of translational processes between cultures and communities where socio-cultural and literary conventions are different, and where readers may therefore be prepared to read, process, and interpret texts in very different manners, as well as from the perspective of a completely different literary background founded on completely different texts. The next section considers the importance of paradigmatic relations between texts within a genre, and how readers’ awareness of these relations affect the expectations and interpretations that are set in motion in the reading process. Ultimately, the significance of these paradigmatic links for an adequate interpretation and representation of a given text in a TC is another element that a translator must address in the translation process.

2.4 GENRE INTERTEXTUALITY

From a conventional point of view of genre, and genre affiliation, all texts enter into architextual relationships of similarity and difference with other texts. Each

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25 Although “architextuality” and “generic intertextuality” are interchangeable terms with the same meaning, I will henceforth favour the use of the latter in order to maintain the parallel between generic and specific intertextuality.
instance of a genre employs generic conventions which link it to other members of
the same genre. As we saw earlier, Jonathan Culler argued in Structuralist Poetics
that due to its being born out of social convention, generic intertextuality becomes a
factor in the intersubjective relationship established between an author and a reader.
As texts are written and read within genres, generic intertextuality is not so much a
feature of a text itself as a result of those conventions for reading and writing that
link members of the same genre together and that both writers and readers are aware
of. In such a way, a reader’s assignation of a text to a genre is the first step in the
process of decoding, and it provides him/her with a crucial intertextual matrix that
conditions the reading experience. However, this raises the question of what the
features are that allow the reader to identify the text as a member of a given genre
and not another. Bearing in mind that genres have proved at all levels resistant to
definition, and that in any case any definition must perforce be restricted to a
synchronic description of what a genre is perceived to be in a community, some
critics have opted for a looser, more diffuse concept of genre. Wittgenstein’s
essentially Formalist theory of Family Resemblance, which he developed in order to
describe the relationship that linked the members of the category “games”, has been
very useful for Morris Weitz, Alastair Fowler and David Fishelov, among others.

According to these theorists, identification of genres, and of texts that belong to
genres can be compared to looking at the different members of a family who
resemble each other. Family traits may or may not all appear in the different
members of one family, or even they may appear in a covert way that does not let us
pinpoint the exact feature where two or more members are alike. In the same way,
texts that belong to the same genre resemble each other in an undeniable but
nevertheless sometimes unascertainable way. While all members of the same genre
have features in common, there is limited overlap of features, which in any case are
not pervasive enough to result in one definitive set of necessary common features that all members of the genre share. The family analogy sheds light on the close-knit intertextual connections within subgenres, but also on the resemblance between somewhat divergent works. It also illuminates the dynamic relationships in genres, where new additions bring new connections with established members, but they also may bring subversion and irony to the group from within.²⁶

Morris Weitz contributed much to the application of Wittgenstein’s Family Resemblance Theory to the study of genres. He supported this theory, as opposed to other classifications of genres which are based on common traits, on the grounds that genres should never be defined against finite sets of necessary and sufficient conditions, simply because the diverse kinds of phenomena they designate do not all have any one concrete feature in common, as would be required by the very concept of a necessary condition. According to Weitz, in any particular genre each work shares only some characteristics with any other, and so it is virtually impossible to define genre in terms of necessary and sufficient conditions. Thus whether a text is a novel or not is not a question of fact “but a decision as to whether the work under examination is similar in certain respects to other works, already called ‘novels’, and consequently warrants the extension of the concept to cover a new case”.²⁷ Given Weitz’s rejection of any one unifying condition, he consequently states that, for example, tragedy cannot be defined because the use of such a category must allow for the ever present possibility and inclusion of new conditions, or new cases with new properties. Nevertheless, by restricting the domain of enquiry, it would be possible to extract a definition from all the cases existent during a given period, e.g. ancient Greek tragedy. Weitz’s argument is

important because, like Todorov, he emphasises the necessity to clearly differentiate “historical genres” (categories that can be historically defined), and “theoretical genres”, which must be abstract and necessarily very open, loose categories. However, by stressing that the members of one genre class cannot be said to have any one feature in common, Weitz takes the idea of family resemblance to a self-undermining extreme.

This extreme has been discussed by David Fishelov in his descriptive approach to theory of genres. He provides a careful definition of genre that will constitute the ground for his discussion and serve as a point of departure to go on to explore different theories. He further explains that he does not intend his definition to solve all theoretical problems concerning the nature and function of literary genres:

I define genre as a combination of prototypical representative members and a flexible set of constitutive rules that apply to some levels of literary texts, to some individual writers, usually to more than one literary period, and to more than one language and culture.28

Fishelov’s definition encompasses two important elements, both in the context of a synchronic view of genre: one is the notion of pre-existing texts having a bearing on the perception of what a genre is and what it constitutes, and the second is the notion of constitutive rules, i.e. certain widely-accepted rules as to what an instance of a given genre must be like (for instance, prose writing for novels, and so on). Additionally, in combination with his definition, Fishelov lists several social and historical factors that participate in the identification of genres, quite apart from readers’ knowledge that a certain genre exists. These are, for example, obvious patterns of similarity between literary works, which point at a generic affinity between them, the possibility that a work’s title or subtitle can signal its adherence

to a certain generic tradition, the existing testimonies of writers and readers about
how they compose and read texts, metatextual commentaries by a work’s
contemporary critics that point it out as belonging to a certain genre, and the
decisions of agents in the literary community (publishers, librarians, teachers, and
so on) as to how they label the work.²⁹

While regarding Family Resemblance Theories as a useful approach to genre study,
Fishelov warns that it should not be overrated, due to its being simultaneously a
somewhat loose concept. He illustrates this caution by analysing Morris Weitz’s
interpretation of Family Resemblance. He returns to Weitz’s assertion that there are
no necessary and sufficient conditions that qualify a text as belonging to a genre;
but rather a combination of different traits that make it similar in some way to other
texts. From Weitz’s assertion, Fishelov concludes that there would be no possible
way to describe “tragedy”. But after all, Fishelov notes, the implicit condition for
members of a family to resemble each other lies in their being directly and
biologically related to each other. Whatever combination of traits they present, they
are obtained from the same gene pool. And, as Fishelov remarks, Weitz himself
allows that in a case like Hamlet, for example, there is critical unanimity on “all the
defining properties of a hero”, i.e. suffering and calamity through the action,
dramatic conflict involving important values, and the tragic effect.³⁰ Fishelov rightly
infers that these properties are considered by Weitz to be necessary properties of
tragedy, agreed upon by all the critics and their diverse theories. And if even Weitz
is capable of locating some necessary conditions for defining tragedy, there is no
reason, according to Fishelov, not to do the same for other genres, or to resort to an
overly loose concept of family resemblance.

²⁹ Fishelov, Metaphors of Genre, p. 11.
³⁰ Morris Weitz, Hamlet and the Philosophy of Literary Criticism (Chicago, 1964), p. 304. Quoted in
Fishelov, Metaphors of Genre, p. 57.
Fishelov then moves on to combine Family Resemblance Theory with the arguments of prototype theory. Regarding the classification of tragedy, he firstly states that Weitz’s “defining properties” can be seen as the kernel of a collective notion (or convention) of the genre of tragedy, and together constitute its fundamental element. These defining requirements in all genres are minimal, and in any case, the kernel is only one part of the text, so that its other features may widely vary as per the Family Resemblance Theory. One of the kernel qualities of a novel, for example, might be “written in prose”, a property that is central – a constitutive rule, one could say – to most texts considered novels, and which, if missing, would radically challenge a reader’s acceptance of a text as a novel. Fishelov then resorts to a prototype theoretical model, remarking that through history, out of all the works that share the same kernel features of tragedy, some of them have become more significant than others. These texts have then been taken as the model of the genre, thus becoming the prototypes at the centre of the model; and all or many of their different non-kernel elements have come to be seen as characteristic of that genre, this state of affairs being usually dictated by aesthetic conventions. New texts which share some of these kernel and non-kernel properties must somehow be located at different distances from the centre, according to how well they match the current prototypical texts. Jean-Marie Schaeffer stresses that this process is necessarily time-bound, given that every text is posterior to the generic norm in relation to which it is made up, and anterior to the generic norm that will be affected by its emergence. In relation to this, prototypes appear as also historically-bound, i.e. a prototypical instance of a genre is what a reading community perceives as such at a given moment. Thus, the genre model is constantly in evolution, although kernel qualities tend to remain relatively stable and non-kernel ones take a long

time to change, or at least it takes a long time for the changes to become conventionally accepted in a community.

Family Resemblance Theory provides a useful paradigm to categorise genres and subgenres in a flexible way, avoiding rigidity in the determination of genre belonging. Together with Prototype Theory, it contributes to the perception of genres – and the qualities that form them – as historically determined and socially conditioned and maintained, but able to change through time, as the socio-historical context and readers’ perceptions change too. Nevertheless, on another level more relevant to the critic, there is a distinct need to divide and subdivide genres in some relatively stable way for heuristic and analytical purposes. What is needed in this case is a set of open-ended labels providing a practical model that can be flexibly superimposed on the corpus of literary works under scrutiny at a given moment. Alastair Fowler’s is one such model.

Fowler builds his model for generic categories on the notion of constituent features, which are analogous to what Weitz labelled “defining properties”. For Fowler, constituent features are the basic building blocks of literature at all levels: phonological, morphological, syntactic, semantic, discursive and thematic. Certain combinations of these constituents are directly linked in our perception to genre characteristics, providing a kind of key to our understanding of generic intertextuality. Fowler establishes a framework for the description of texts and their ascription to genres, with four main categories. The first one, labelled kind, he employs to accommodate historical genres such as lyric, epic, and drama, and by extension all those others that are considered solidly established forms within these historical kinds: novel, tragedy, comedy, epigram. Kinds may be characterised by

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any one of the elements of the generic repertoire, but these include certain features, such as the defining properties of size and external form: as I observed earlier, one of the most elemental – though still not altogether watertight – things we could say to define “novel” would be “an extended piece of prose”.

Fowler’s second category, subgenre, is defined as a set of texts that share the same external characteristics with the corresponding kind, but additionally specify new particular constituents, mostly related to a dominant theme or type of content, that all its members share. David Fishelov distinguishes between different types of new elements: they may be thematic, producing, for instance, the historical novel, from the novel kind. They could also be formal, as in the case of the English sonnet, from the sonnet kind, or a mixture of the two, as with the detective novel, which has a specific thematic constituent, and must follow a particular kind of narrative structure with its own constituents. These special constituents are added to the kind’s existing principles, without affecting its fundamental characteristics, so that a subgenre of drama – for instance, drawing-room comedy – will always have a dramatic structure. According to Fowler, the alteration to the kind may be unpremeditated, with a writer only seeking to write in a new distinctive way. Other writers may then realise the potential of this particular form as a “model”, and it becomes a focus of creative and critical activity, both formal and informal. This establishes the subgenre as a distinct division from others, and it may even be labelled specifically, as will be the case with academic or campus novels. Fowler determines that a subgenre is constituted distinctly as long as there is evidence that its constituent schemata, and the relationship between its members, are entertained and accepted as significant by a literary community. Then the subgeneric model begins to be applied restrictively, with existing instances acting as prototypes, in

33 Fowler, Kinds of Literature, p. 158.
34 Fishelov, Metaphors of Genre, p. 16.
response to a sharpening sense of what belongs and does not belong to it.\textsuperscript{35} In conclusion, the new form is apprehended as a new generic form only from a subsequent historically-determined perspective, and it may develop its own constitutive rules, usually in the form of the aforementioned thematic specification.\textsuperscript{36}

The last two of Fowler's categories are \textit{mode} and \textit{constructional type}. A mode is a more or less unstructured abstraction from the kind. In opposition to kinds, which are to some extent historically circumscribed and have some constraints on external forms, modes appear to be a sort of oblique ingredient: a \textit{bildungsroman}, for instance, is a subgenre that can be written in the mode of comedy or in the mode of satire and so on. Modes are capable of grafting on to almost any external form, long after the antecedent kind has become relegated due to its rigidity, as is the case with classical comedy and tragedy. In some cases, it is not even clear that a mode has been a kind on its own, but rather always been attached as an ingredient to many different literary forms, as is the case with satire. Finally, a constructional type is a purely formal category comprising texts with long-established fixed forms, such as the sonnet and many other types of poetry.

The historical perspective that Fowler allows to enter into his model permits the generic grouping and regrouping of individual works from our present standpoint.\textsuperscript{37} This ties in with the above assertions that acknowledgement and identification of a

\textsuperscript{35} Fowler, \textit{Kinds of Literature}, p. 159.

\textsuperscript{36} Although I maintain that according to these definitions the campus novel is, in fact, a subgenre of the novel genre, on occasion I have used both "subgenre" and "genre" to refer to it. The reason for this is that in the thesis I have concentrated on the study of the campus novel as a relatively independent, self-contained literary tradition, rendering its taxonomic condition as a "type of novel" relatively superfluous. In addition, when referring to literary devices that contribute to the identification of these novels as "campus novels", I have often used the term "generic feature", in order to emphasise the device's potential as a genre constituent not only in the case of campus novels, but with reference to other genres and subgenres as well.

\textsuperscript{37} Fowler, \textit{Kinds of Literature}, p. 159.
subgenre, and understanding of its intertextual potential, is directly dependent on conventionalised schemata (whether thematic or formal) which belong both to the writers and to the readership. This is of importance in that it emphasises the role of a genre or subgenre’s historical evolution, and a reading community’s awareness of it, in the way it is perceived at a given moment. In terms of genre, it can be said that a text refers to the modelling function performed by earlier texts, either via examples (“prototypical” pre-existing texts) or via explicit norms (constitutive rules). This architextual relationship manifests itself either as imitation or as divergence; or, in Jean-Marie Schaeffer’s words, with a text referring to a certain number of models “from which it extracts its own rules or to which it will oppose its rules”.38 The active modulation of the genre or subgenre models, in Fowler’s opinion, means that new literature can transgress or transform genres through the unprecedented combination or modification of constituent features, thereby inducing social reactions of rejection or acceptance of the new form.39

From a synchronic angle, it would appear relatively easy to establish the affiliation of a text and the intertextual relationships that are perceived as obtaining within the same genre or subgenre. However, while it is possible to pinpoint the kernel features that are often present and felt to be characteristic in all the works that are grouped together in the same subgenre, the endless variety of the treatment of these constituent traits causes objective definition to be a difficult endeavour. Working definitions are perhaps the most that can be expected, and therefore my next chapter begins with a working definition of the subgenre of the British academic novel, with a preliminary exposition of the kernel features that may be generally expected in any instance of it. However, it also emerges from the previous pages that current perception of a subgenre is mediated by its evolution, insofar as the ability of some

39 Fowler, Kinds of Literature, p. 33.
texts to become prototypical models of the subgenre has affected the production and reception of subsequent instances, which have themselves modified the perception of previous texts as prototypical. It makes sense, therefore, to review descriptively the history of the academic subgenre and its diachronic changes, particularly as these changes closely reflect concerns and attitudes that were socially consequential in each period of the writing of these novels, and which have given rise to kernel features that complement or supplant previous ones.

As a final proviso to this chapter, the notion that generic intertextuality, i.e. architextuality, has a bearing on readers’ perception and interpretation of the texts before them, could imply that the absence of such architextual referents hinders the adequate comprehension of a text on the part of a reader. This would obviously be the case with those translations that take place between two cultures which do not share the same body of pre-existing “prototypical” works for a given more-or-less established genre or subgenre, or even similar generic categories. The case study that I develop in the last three chapters of this thesis is indeed one of these cases. There are not only very few Spanish translations of academic or campus novels (at least, until a fairly recent increase of interest in the work of David Lodge), but there is also no Spanish generic counterpart to British academic novels, no similar genre or subgenre to provide architextual pointers to readers of those translations, whether they be pointers of similarity or dissimilarity. The consequential issue of how far this indeed affects the Spanish readers’ reception of and response to the translations of Lodge’s campus novels will be addressed directly in Chapter 6, and indirectly in Chapters 7 and 8; however, it also requires the analysis of the subgenre of academic novels – and particularly of Lodge’s novels – that is set out in the following two chapters, which will constitute the basis for the generic angle of my comparative study.
CHAPTER 3
THE BRITISH ACADEMIC NOVEL

3.0 INTRODUCTION
Despite its relatively low profile within the British literary system, the sheer amount of fiction written on the subject of university life in the last 150 years would support the existence of an “academic novel” subgenre in British literature. As per Fowler’s division of categories, this subgenre would spring from the parent kind of the novel, specifying a particular thematic concern with universities or academic figures. However, it appears that the academic novel has developed through varying approaches to its theme, simultaneously with changes in the university environment and social practices. Since the eighteenth century, and more markedly during the nineteenth century, the university theme was persistent in works of different nature and purpose, evolving in the twentieth century towards a contemporary ramification into various strands: a long line of university thrillers and detective stories, academic novels of manners, novels of academic politics and, lastly, a group of novels that essentially communicate disillusionment with the university system. The latter represent a turning point in the evolution of the novel and the emergence of a new model that is concerned with issues outside the mere telling of university adventures. In this way, the kernel features of what is understood to be an academic novel have varied through its history, as has the idea of what is a prototypical instance of it.
3.1 THE ACADEMIC NOVEL AS A SUBGENRE

As I argued in the previous chapter, the existence of social convention, and the perpetuating institutional practices of literary education and criticism provide us with an understanding of literary categories accurate enough to allow classification, but also flexible enough to admit backtracking and crossovers. In the case of genre, the system of convention is fluid enough that texts can be initially assigned to a genre, re-located according to different reading interpretations, grouped with others with which they share some of the same features, and new groupings can be created when old ones fall into disuse. In accordance with the socio-historical slant of this study, evidence of social agreement as to what constitutes and does not constitute an academic novel must be sought in critics’, writers’, and readers’ manifestations demonstrating that they think of academic novels as a specific subgenre, that they can broadly define academic novels in contraposition to other subgenres, and that there are themes and features which are perceived as shared by many academic novels and which are expected by the reading public. These three strands of evidence feed into each other, strengthening the intertextual connections between one academic novel and the rest of the members of the subgenre and composing the contemporary idea of academic novels as a distinct group.

Thematic similarities seem to be key in bringing about generic intertextuality. After all, as Fowler asserted, in the case of a subgenre it is normally a thematic specification that sets a sub-group of novels apart from all other novels. In this sense, Mortimer Proctor already commented in 1957 that “The reader who has made his way through the long list of English university novels cannot fail to note the remarkable sameness their plots, and even individual fragments of action, exhibit”.¹ Later, Ian Carter would remark about his long research into academic

novels that, after a while, whenever he found a new one and started reading, “after a couple of pages I would discover the awful truth. I had read it before. After a couple of years, I had read them all before”. There are evidently narrative elements and strategies which are shared by all these novels and which repeat themselves – even if sometimes in modified form. Other readers’ and writers’ opinions confirm the existing links between them. Malcolm Bradbury, himself a writer of academic novels, asserts that there is “an acknowledged genre of the university novel” and “many novels nowadays seem to be set there; this suggests there is a genre of a kind”. David Lodge confirms that the campus novel is so firmly established as a form of fiction that readers come to expect certain characteristics or traits, and experience confirmation or surprise depending on the treatment of those traits in the text they are reading.

I argued in the preceding chapter that, given the historical variability of the literary system, the definition of a subgenre can only be a working definition suitable for heuristic or analytical purposes. Along this line, critics’ definitions can give an idea of how, and by what identifiable features, the different texts that are perceived as academic novels are intertextually linked. Siegfried Mews has commented on the dearth of campus novel definitions that observe its generic characteristics. This is mainly, he maintains, due to the overabundance of campus novels with an extensive variety of sub-themes which are widely available in both the British and the US literary system. There seems to be, however, a general consensus that an academic

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2 Ian Carter, Ancient Cultures of Conceit: British University Fiction in the Post-War Years (London: Routledge, 1990), p. 15 (original italics).
3 Malcolm Bradbury, “Campus Fictions”, in University Fiction, ed. by David Bevan (Amsterdam: Rodopi, 1990), pp. 49-55 (p. 50).
novel is one that displays a specific subject matter and setting: the lives and events that converge around institutions of higher education.

Still, not all works of fiction which feature a university can be considered university novels. Some novels stray from purely academic subjects, and others not at all. In this respect, as Mortimer Proctor argues, an important problem in labelling a university novel is in part quantitative, in that it concerns the extent to which the university theme predominates. John Kramer has taken that quantitative aspect into account when providing his working definition:

A full-length work of fiction which incorporates an institution of higher learning as a crucial part of its total setting and which includes, among its principal characters, graduate or undergraduate students, faculty members, administrators and/or other academic personnel.

Malcolm Bradbury describes university novels as those “which have taken the university or campus as a significant setting, and read the world of student, academic or general intellectual experience as an emblematic place in culture”. Patricia Shaw basically agrees with these definitions when she states that the university novel is that which is “partially or completely set against a University background, whose plot deals with typical academic activities, and having as its protagonist a University student or teacher”. Though none of these definitions is entirely watertight, both Bradbury and Shaw place value on the meaningful implications that the university setting has for the plot. Their definitions bring to the fore two significant notions: firstly, the perception of the university environment as somehow special, isolated from ordinary life by the “ideal”, privileged nature of its

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6 Proctor, The English University Novel, p. 3.
8 Bradbury, “Campus Fictions”, p. 50.
trade and currency; and secondly, the belief that those who inhabit this academic environment are also inevitably affected and shaped by it. This more qualified definition, which is therefore narrowed to more academically-oriented fiction as opposed to stories that might simply be set in or around a university, is at the basis of my study of the academic subgenre.

This brings up a terminological point that is also connected with the diachronic development of the subgenre. Most critical writing employs the terms “campus novel”, “university novel”, and “academic novel” to refer to the subgenre that I focus on in this study. In many cases the terms are used synonymously, but I will draw one distinction between them. It will become apparent as I analyse the development of this type of novel that the subgenre has undergone significant changes through its history, and it was particularly transformed after the 1950s, on the one hand due to social and organisational changes in the university system itself, and on the other hand as a result of the publication of Kingsley Amis’s novel Lucky Jim in 1954. For the most part, novels coming after this point diverge considerably from the existing corpus of novels both in terms of their setting, which generally shifts from Oxford and Cambridge to the new redbrick universities, and in terms of their tone, which becomes satirical and ceases to be reverent of the university as an institution. Many literary critics have emphasised this difference, and have proposed the more specific term “campus novel” for the post-war novels. David Lodge, for instance, refers to his own work as “campus novel” in opposition to the Oxbridge stories that he labels “varsity novels”. Malcolm Bradbury makes the same distinction between “university novel” and “campus novel”, which he sees as “less concerned with nostalgia or social recollection, more with intellectual and social change”.

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12 Bradbury, “Campus Fictions”, p. 51.
Chris Baldick’s *Concise Oxford Dictionary of Literary Terms*. His definition of it is somewhat similar to Shaw’s and Bradbury’s in that he defines it as “a novel, usually comic or satirical, in which the action is set within the enclosed world of a university (or similar seat of learning) and highlights the follies of academic life”.

In all these instances the choice of the term “campus” seems to be inspired by a redbrick setting, although if we consider “campus” to denote a largely self-contained site, often separate from the town centre, only some British redbrick universities are actually “campus universities”. Nevertheless, there appears to be a high degree of accord in treating satirically-inclined post-war academic fiction as a separate strand within the university subgenre, and labelling it “campus novel”. Accordingly, I will indistinctly use the terms “academic novel” and “university novel” to refer to novels that were written before the 1950s, and “campus novel” to refer particularly to those that were written afterwards, especially in a comic or satiric vein. But let it be stressed that although the specific texts I have used for this case study all fit into this latter definition and the label “campus novel”, I aim to contextualise them within what is perceived as a whole thematic subgenre, bearing in mind its diachronic evolution. Therefore I am setting off my case study texts against those other campus novels that are similar in theme and tone, but also against the whole tradition of university novels that exists in English literature.

### 3.2 FROM THE ORIGINS TO THE 1950s

I have earlier argued that the notion of a subgenre implies a recognisable relationship among its members, which is understood as a fluid one of influence and evolution. Furthermore, as Ian Carter remarks, the existence of an academic subgenre is evident from the dense cross-referencing between books and writers.

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14 Carter, *Ancient Cultures of Conceit*, p. 34.
From this point of view, it is important to consider the historical development of the subgenre, which yields essential clues to its literary development as well, and the generic conventions that have arisen from it. In addition, it is necessary to connect its development to the significant social and political changes that affected Britain mainly during the nineteenth century, but also up to the present. The imprint of these socio-historical changes is perceptible on the themes and tone of the novels, which range from early celebration of student life, to a crestfallen pessimism and hostility towards university institutions at a later stage.

In relation to this diversity, John Schellenberger has argued that up until 1954, when *Lucky Jim* advanced the development of a whole new type, there were four main categories in which most existing university novels could be included: the “rowdy undergraduate” novel, the “university experience” novel, the crime and detective novel, and the novel of academic intrigue. The first two groups, the “rowdy undergraduate” and the “university experience” novels, are generally written by former students of Oxford and Cambridge, and are normally articulated as a kind of *Bildungsroman* where a young undergraduate discovers life and (often) arrives at wisdom and maturity as a student at Oxford or, more rarely, Cambridge. The last two, the crime and mystery thriller and the novel of academic intrigue, are generally written by professors or former professors. These broadly thematic categories surfaced more or less chronologically as the subgenre evolved, but the different types basically co-existed until the early 1950s, with novels being written both from new perspectives and from pre-existing ones. Nevertheless, what Schellenberger classifies as novels of academic intrigue seem to constitute a crucial antecedent to the post-war campus novel, and I have preferred to stress this thematic continuity by introducing them under the post-war novels heading.

3.2.1 The Rowdy Undergraduates Tradition

Studying the history of the British university novel as a subgenre requires a look into the past as far back as the first appearances of university figures in literature. Portrayals of universities or university figures did not really constitute a novelistic subject in literature until the eighteenth century. Until then, isolated university characters, such as Chaucer's fourteenth-century Clerk of Oxford, appeared in sporadic episodes and played a secondary role within other texts, but overall their reputation and their dedication to a higher kind of scholastic philosophy remained untouched and separate from literature until the fifteenth century. It was then that new developments began taking shape in Oxford and Cambridge, such as the federation of independent colleges, and their ever-increasing wealth, which eventually led to elitism and a kind of patronage based on money and social influence, rather than learning or academic achievement. As these new tendencies became public knowledge, universities started acquiring an increasingly bad name for intrigue and bribery, while students were regarded as idle and dissipated youths who spent their days sporting courtly manners and brawling, without ever opening a book.

This reputation provided writers with a wealth of stereotypical characters—the pedantic don, the foppish aristocrat, the dull reading man, and so on—that were occasionally used for comic purposes in eighteenth-century texts. A more substantial integration of literature and university is the Man on the Hill's moralistic narrative in Henry Fielding's *Tom Jones* (1749), which Patricia Shaw considers to be the first story of English university life, and already sets out the dichotomy

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between the “studious set” and the “fast set” at university, i.e. those who are interested in study, and those who are more interested in drink and gambling.\textsuperscript{19} It was the character of the extravagant and degenerate young student, however, that was to bring the legend of academic decadence to its peak in 1768 with the appearance of the anonymous \textit{The Adventures of Oxymel Classic, Esq.: Once an Oxford Scholar}, considered the earliest attempt at an academic novel.\textsuperscript{20} In its depiction of nonchalant dissoluteness and general callousness rather than civility or love of knowledge, it is a striking commentary on university life, but all it does in fact is add piquant details to the students' already existing reputation.

Even as the spirit of reform permeated academic institutions in the latter half of the nineteenth century, as I shall explain below, there are still texts of this period that examine the most discreditable aspects of university life, such as the four Oxford chapters in William Thackeray’s \textit{Pendennis}, but the tone of these novels was gradually shifting into a romanticised treatment of undergraduate recklessness, where immature foolishness and mischief was invariably redeemed by the discovery of the students’ goodness of the heart.\textsuperscript{21} A more important novel about the irrepressible spirit of the student is \textit{The Adventures of Mr. Verdant Green}, by ‘Cuthbert Bede’ – a pseudonym of the Reverend Edward Bradley – where the main character experiments the ups and downs of collegiate life, and his fellow students’ pranks, without ever losing his youthful optimistic outlook on life.\textsuperscript{22} In this book, undergraduate exploits are idealised in a lively and humorous narrative which, according to Proctor, would influence academic literature for the next fifty years.\textsuperscript{23}

\textsuperscript{19} Shaw, “The Role of the University”, p. 45.
\textsuperscript{20} Anonymous, \textit{The Adventures of Oxymel Classic, Esq.: Once an Oxford Scholar} (London: [publisher not available], 1768).
\textsuperscript{22} Edward Bradley, Rev., \textit{The Adventures of Mr Verdant Green}, by ‘Cuthbert Bede’ [1854-1857], ed. by Anthony Powell (Oxford: Oxford University Press, 1982).
\textsuperscript{23} Proctor, \textit{The English University Novel}, p. 78.
3.2.2 The Educational Experience Novel

The rowdy tradition in academic fiction was to be checked, however, by the reform movement that encroached on the university system in the nineteenth century. Crucial changes in legislation meant changes in curricula, which were re-designed to provide instruction in useful and practical knowledge related to the new technical and scientific discoveries. The ascendancy of the authority and power of the individual colleges at the expense of that of the universities was also challenged and reversed. And in literary terms, the spirit of reform was reflected in the tone and point of view adopted by the novelists who focused on the university theme, who began regarding the matter of reform as one of urgent concern. For example, John Gibson Lockhart’s novel *Reginald Dalton: A Story of English University Life* displays an undoubted respect and admiration for Oxford, but also offers some positive suggestions for reform: taming the young aristocrats, putting an end to snobbery, banning duelling, and so on.24 An interesting development in several of the novels that appeared within this reformist trend is that student characters demonstrate a heretofore unknown concern with examinations and study, or else they are first tempted by the jolly lives of the fast set and then reformed, as in Thomas Hughes’s *Tom Brown at Oxford*.25

A weighty factor for the increase in “reform” academic novels in the nineteenth century is the emergence and perpetuation of a “myth of Oxford”. As a Victorian construction, the myth of Oxford is indelibly marked by Matthew Arnold’s ideas on culture and its transmission, which stress the overwhelming need to defend culture. Developing from the reform pressure, this dominant discourse implies the other things that must also be admired and defended: social privilege, masculine privilege, conservatism, scholarship, and ultimately, “English civilisation”. All

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these ideas are to be found in the sphere of the university and as a result, it is argued by Proctor, Victorian university fiction collectively generated a "profound exploration of the function and purpose of the university itself". The primary conclusion was that all universities embody culture, but some embody it better than others, namely the traditional centres of privilege and learning, which must be defended. Oxford and Cambridge are considered to be finishing schools for the men who are to rule and defend the cultural values of Englishness. It is this myth of Oxford – implicitly, though not to the same degree, extended to Cambridge – that constitutes the first comprehensive attempt in English literature to evaluate the effects of university life on the undergraduate: refinement of the spirit and perfection of the intellect. This cult of Oxbridge reached its high point with the publication of Compton Mackenzie's *Sinister Street* in 1913. In this book, Mackenzie goes as far as suggesting that it is the Oxonian atmosphere that promotes young students' maturity and intellectual growth, independently of the teaching practices undertaken in the colleges.

This ongoing veneration of Oxbridge partly serves to explain one of the most striking features of university novels written from the seventeenth century on: the vast majority of them is set in Oxford. According to Patricia Shaw, from the 1850s until 1955, 85% of university novels were set there. There are fewer based in Cambridge, but the attitudes we perceive from both sets draw a precise dividing line between Oxbridge and other universities. The most elementary explanation for this clear segregation could be that the university stories based in Oxford and

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28 "Cult of Oxford" novels were mildly parodied in Max Beerbohm's *Zuleika Dobson: Or an Oxford Love Story* [1911] (New York: Dodd, Mead & Company, 1946), in which a whole college of exceptional young men drown themselves in the river Isis to honour the beauty of the eponymous protagonist. Nevertheless, the cult is still discernible in some modern novels, such as the Oxford section of Evelyn Waugh's reminiscent *Brideshead Revisited* [1944] (Boston: Little, Brown & Co., 1945).
29 Shaw, "The Role of the University", p. 44.
Cambridge are concerned with the peculiarities of life within what were known to be two highly exclusive and inbred scholarly communities, relatively isolated from the outside world, and which reveal traditions and codes of behaviour and thought which are unique and can only be compared to each other. It may be that it was precisely their unfamiliarity and exclusivity, together with the sheen of an idealised academic life intended for noblemen and gentlemen, that made it so appealing a subject for literary exercise.  

As a result of the consistent opposition of Oxford/Cambridge on the one hand, and the rest of the English universities on the other, the end of the nineteenth century saw the Oxbridge/non-Oxbridge dichotomy firmly installed in British academic fiction in the place of a more equalising continuum. As Carter observes, the dichotomy established a set of oppositions between them: where Oxford and Cambridge are metropolitan, most non-Oxbridge universities are provincial; where the former are traditional, the latter are unconsecrated by time; Oxford and Cambridge enjoy a fully communal life, while non-Oxbridge universities are considered nine-to-five teaching factories. Ultimately, what emerged from these distinctions as the key difference between Oxbridge and non-Oxbridge was the unique administrative constitution of Oxford and Cambridge. In Oxbridge novels, the status of the different administrative officers, such as the Dean, the Senior Tutor, and the Bursar, appears to be at very much the same hierarchical level, so that decisions are made with the fellows arguing each decision disinterestedly and with the same amount of influence. This, academic novels tell us, is not found outside Oxbridge: English provincial universities are governed by rigid hierarchies, with a mixed Senate making the academic decisions and members trying to scrape

30 In close relation to this lies the observation that most of these accounts were written by minor literary figures such as Edward Bradley and Thomas Hughes, who had experienced Oxford and Cambridge directly and who could presumably feel privileged at having partaken of the Oxbridge lifestyle (Shaw, “The Role of the University”, p. 45).
31 Carter, Ancient Cultures of Conceit, p. 52
as many benefits as possible for their department or themselves, often at any cost. Administrative difference, however, soon moves onto other grounds, and qualifications appear in most novels, whether about Oxbridge or non-Oxbridge: to be a lecturer is good, especially if one is in the Humanities, as most of the professors in twentieth-century British university novels are; however, to be teaching anywhere other than Oxford or Cambridge is proof that one is second-class, and must miserably writhe with uncomfortable awareness of it. These notions of Oxbridge/non-Oxbridge opposition, as I shall argue later, are still traceable in contemporary university fiction. Nevertheless, as the next section shows, being a professor at Oxford or Cambridge is not without its risks to one's personal integrity.

3.2.3. The Crime and Detective Novel

An independent sizeable group of novels, remarkable in their great number as well as in their characteristics, comprises the many instances of the donnish detective novel, generally set in Oxford and Cambridge. These novels usually narrate the murder of a don or an undergraduate at a college, and the subsequent investigation. It appears a peculiar kind of subject matter for novels which are set in the presumed centres of English civilisation, but Proctor can see a natural relation in the collation of murder and great learning. In his opinion, a fictional college may credibly be made to contain numerous neurotic personalities, be they unstable undergraduates or stressed and overworked Fellows with rivalling ambitions. On their own, these ingredients should be enough to originate crime on a fairly massive scale, but another aspect that encourages this type of narrative is the fact that most Oxford and Cambridge colleges had gates which were closed by a porter at night, conveniently delimiting the suspects in case of literary murder or criminal assault and a subsequent investigation.

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The result is an interesting if rather formulaic strand of academic fiction which has proved greatly prolific. Proctor lists John Cecil Masterman's *An Oxford Tragedy* (1933) as the earliest such novel, followed by many others such as Dorothy Sayers's *Gaudy Night* (1935) and C. E. Vulliamy's *Don Among the Dead Men* (1952). This subset of "thriller" novels remains fairly autonomous, continuing to be productive and very much alive nowadays. Highly popular examples are Colin Dexter's Inspector Morse novels, with the accompanying television series. But by far the most productive writer of this particular brand of novel is "Michael Innes" (the pseudonym of J. I. M. Stewart), who published nearly twenty murder mysteries between 1936 and 1986. Altogether, the output of crime and mystery university novels during these years exceeds sixty, conforming a fairly large sub-classification within the subgenre. Due to this relative autonomy, and to their sheer number, they remain beyond the scope of this study, which takes as its object the type of novel that claims to represent everyday life among the staff and students in universities.

### 3.3 THE POST-WAR PERIOD

The sanctioned discourse of privilege, which took Oxbridge hegemony for granted, continued to inundate British campus fiction right through the first half of the twentieth century, even when it was already an uncontested truth that the situation of non-Oxbridge universities had improved tremendously in terms of quantity and quality. As Janice Rossen remarks, the suggestive power of a mythical Oxford and Cambridge as the ultimate seats of learning places them squarely at the centre of the socio-cultural and intellectual power structure, whether deservedly or

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undeservedly. At the beginning, few dared challenge such position. It may have been acknowledged that by contrasting Oxbridge and non-Oxbridge, British academic novels failed to adequately describe the whole system. It may have been apparent to academics and writers alike that within the subgenre there existed an established discourse that generated its own rules for including some things and excluding others. But while we might expect to find some resistance to the deluge of discredit, there is a striking absence of such responses in this period. Instead we find an implicit ready acceptance of hierarchy in the continued preference of authors for Oxford and Cambridge settings for their fictions, and a perpetuation of themes such as a student’s immersion in the Oxbridge atmosphere as a step towards absorbing the values of civilisation and culture.

Nevertheless, by 1945, two world wars and the loss of an empire had shaken the beliefs of English supremacy and civilisation, and the Oxbridge cult had begun to lose its sheen. According to Richard Sheppard, the post-war reappearance of negative academic stereotypes which had become diluted in the first hundred years of the history of the subgenre is due to a renewed social preoccupation with the place of traditional learning institutions in a society that was changing dramatically in all aspects. Post-war Britain saw the rise of a mass society, the breakdown of post-war consensus, and the beginning of a second industrial revolution with its attendant ghost of economic recession. The university as part of society could not remain isolated from these changes, and became the site of a virtual ideological debate, with the new intellectual assumptions of liberalism striving to supersede the complacent conservatism that prevailed in Oxford and Cambridge colleges. In short,

the hard clash with reality that was brought onto British literature by the war and
the post-war period took its toll on the romantic aura of Oxford and Cambridge.

George Watson gives a second reason to explain the shift of tone in post-war
academic fiction. He points out that in the 1945-55 decade, with the increase in the
number of universities, higher education was becoming accessible to a greater
segment of the population. As Bernard Bergonzi points out, this also represented a
chance for many young people of lower-middle class, and even working-class
origins to go to university. The attitudes and background of the new students were
remote from those traditionally associated with Oxford and Cambridge. In fact,
many of these students chose not to go to Oxford or Cambridge, but to less
traditional, less expensive and less exclusive universities, in London and the
provinces. David Lodge, for instance, explains in an interview that he “did not
presume to go to Oxford or Cambridge” and just settled for the local university.
And he is just one of several novelists who, having obtained a non-Oxbridge
degree, have made redbrick or new universities a subject in their fiction. As a matter
of fact, that the post-war academic novel manages to free itself from the Oxbridge
setting is for Patricia Shaw a direct result of the rise in numbers of non-Oxbridge
educated novelists. Ultimately, this period’s increase in the output of academic
novels, and the significant qualitative change that took place, indicate that the new
university settings with their new student and staff communities, more modern and
owing nothing of their character to age-old traditions, appealed to the creativity and
sensibility of writers who had until then been mostly excluded from the traditional
university community.

41 Shaw, “The Role of the University”, p. 45.
42 This may be extended to the rise in “academic” plays, such as Simon Gray’s *Butley* (London: Methuen, 1971) and *Otherwise Engaged* (London: Samuel French, 1975), Michael Frayn’s *Donkey’s Years* (London: Samuel French, 1977) and Tom Stoppard’s *Jumpers* (New York: Grove Press,
mystery thrillers, and novels of nostalgic reminiscence, there was in British university fiction of the post-war period a new, growing group of novels with non-Oxbridge settings that began to develop specific themes and narrative forms.

As a matter of fact, the change within the academic subgenre was heralded during the late 1940s and 1950s by the dissenting voices that began to be heard, exposing the inadequacy of old-fashioned ideas about Oxbridge pre-eminence. For instance, Philip Larkin’s realistic novel *Jill* (1945) portrays irresponsible aspects of a collegiate life that proves life-threatening for the hero.⁴³ As Patricia Shaw remarks, this is no glorifying account of Oxford, functioning instead as a foil to romanticised treatments of Oxbridge undergraduate life.⁴⁴ In J. C. Masterman’s *To Teach the Senators Wisdom* (1952), Oxford is obliquely charged with a reactionary inability to adapt to social developments and progress, especially as far as modern education methods, gender equality, and student participation in college decision-making are concerned.⁴⁵ In these novels, as in several others from the same period, Oxford remains definitely behind the times.

But neither does Cambridge escape the onslaught of mild criticism. Similarly straying from the cultivation of the myth are many of C.P. Snow’s novels, among which are *The Light and the Dark* (1947), and the eleven novels of his *Strangers and Brothers* sequence.⁴⁶ Snow narrates the political and personal clashes that accompany electoral processes in the colleges, preserving a deep spiritual feeling of the college as a unit, yet painfully revealing the sometimes bitter competition for

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¹⁹⁷⁴.
⁴⁴ Shaw, “The Role of the University”, p. 55.
power between its members within. In fact, aside from the university detective novels, Snow's are the first to narrate events mainly from the viewpoint of the professors, centring on their lives in the college and leading us deep into the inner workings of the Cambridge professorial world, showing it in all its obscure intrigue.

Although Snow's novels are narrated with respect, the first inkling of disillusionment in all these "dissenting" novels represents the beginning of the end for the feelings of deference and dedicated fervour that had been so prevalent in university fiction. It also represents a step towards a new form of university novel that took root primarily in non-Oxbridge fiction, and which Schellenberger decidedly labels "a whole new subspecies". The theme of disillusionment appears to emanate from two separate sources. On the one hand, it is connected with the socio-political and economic reforms of the post-war period, and very significantly with the expansion of the British higher education system that was promoted by the Robbins report. Bolstered in the 1950s by a brief period of economic growth, it was clear that funds – and optimism – were dissipating already in the 1960s, giving rise to insecurity and disappointment with the university system as a whole. On the other hand, disillusionment appears as a consequence of the still deep-seated idea of Oxbridge superiority, which causes a feeling of inadequacy in those academics that find themselves teaching at redbrick or new universities, polytechnics, or abroad. Thence emerge accounts of how miserable life is as a lecturer or student anywhere, but particularly if one is not at Oxford or Cambridge. As a result, the "novel of redbrick disillusionment", which began with Amis's *Lucky Jim* (1954), represents a considerable change in the tone and function of campus fiction.

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3.3.1 *Lucky Jim*

*Lucky Jim* is remarkable among British twentieth-century university novels, and has proved to be extremely influential in the subgenre. Focusing on the theme of disillusionment, *Lucky Jim* depicts life at one of the provincial redbrick universities through the eyes of a bitter, disenchanted misfit who is suffering out his fateful short career as teacher of history. Some of the singularities that set off *Lucky Jim* from the bulk of previous campus novels, and which were decisive in the production of subsequent ones, are those related to its setting and main characters. Firstly, as John Schellenberger remarks, *Lucky Jim* was the first university novel to have as its hero a lecturer at a desolate, unromantic, provincial campus, bringing this setting, and the events in it, into the public eye.\(^4\) In addition, this dreary campus appears to be mainly peopled by academic staff and their families, with a sparse student presence, in contrast to the previous tendency for academic novels to focus on the lives of students. Jim Dixon, the anti-heroic hero, is a young lecturer trying to ingratiate himself with his pompous Head of Department in order to keep his unglamorous academic job, much against his own better judgement. He feels no respect or affection for his learned environment, and would much rather be away from the university, away from his students, and especially away from Professor Welch and his posing, pretentious family and retinue. The fact that this exemplar of frustrated young professional was highly consonant with post-war disorientation may be another one of the reasons why “Lucky” Jim Dixon attained hero status, as a kind of spokesperson for the times, voicing a contemporary feeling of discontent and despondency.

*Lucky Jim* highlights the hypocrisy and pettiness of its redbrick academia, where even the most respected members are portrayed as ridiculous pedantic figures. The

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spotlight is on the shams of academic life at its exaggerated worst, but it is particularly its tone that sets this campus novel apart from all previous ones, for it is a comic farce that undermines the myth of University as the vehicle of culture and civilisation, exposing mediocrity, narrow-mindedness, and pretentiousness. The satire touches upon nearly all aspects of the academic profession: teaching, research, department politics, staff-student relations, and so on. Characters are portrayed almost as caricatures, setting a trend for subsequent novels to portray fictional academics as fools displaying a comic mixture of absentmindedness and ambition, and unusually prone to mild disaster.

It is probably a sign of changing attitudes towards universities – at least in the general public – that Lucky Jim soon became a sales success. In the three years after its publication, it was reprinted twenty times, and it was never out of print up until 1980. As I have mentioned, the novel emphasised a number of considerations about the state of universities and the proficiency and dedication of those teaching in them. These observations, coupled with the novel’s popularity, brought the isolated realm of the university into contact with non-academic readers, but it did so in an iconoclastic, grotesque way that managed to tag many things academic as instances of comic lunacy. This slant has permeated the production and reception of campus fiction up until the present moment, influencing numerous novels that clearly distance themselves from preceding traditions. This is the main reason why the term “campus novel” has been said to have a well-differentiated modern sense which encompasses the academic disillusionment novels written after the 1950s.

3.3.2. The Modern Campus Novel

Kingsley Amis’s Lucky Jim started a trend that continues until today in campus literature. Its inheritors are a group of novels, some of them satiric, some merely comic, which are invariably set in new and redbrick universities, most commonly in departments of English or English literature, and with a focus on the staff and their doings, although there are several important exceptions in the form of student-centred novels, such as William Cooper’s Young People (1958) and Keith Walker’s Running on the Spot (1959). In general, the theme of the undergraduate experience had been the single most frequent one in university novels up until the 1950s, recounting the behaviour and concerns of students. Staff-centred novels from Lucky Jim onwards, on the other hand, focus primarily on the faculty members, administrators and their families. In relation to the change in focus, it might be noted that most pre-1950s university novels were written by authors who graduated and then left the academic environment altogether, hence the necessity of a student focus for their novels. On the other hand, post-1950s novels tend to be written by professors or former professors, who write from this position. Students in these novels tend to be seen as a mass wherein a few individuals are distinguished by the nature of their relationship to the main scholar-characters in the narrative: grading dilemmas, personal attraction, or personality clashes.

With new university fiction turning into an instrument of satire and indictment, redbrick campus novels attempted to subvert the positive values associated with universities, characterising prestige as misconceived elitism, idealism as dust in the eyes, and academic achievement as inconsequential in the larger scale of things. Nevertheless, the focus slowly shifted from concentrated frustration with the academic system towards a humorous, more diverse outlook. In the words of

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Malcolm Bradbury, “campus novels are quite heavily infested with satirical intentions, humoristic practices and the like”.\textsuperscript{51} For instance, latter-day campus novels often portray characters who are either shallow fools or malicious frauds but they hardly ever express the bitter indignation of a Jim Dixon. Or else, as Sanford Pinsker notes, they portray “faculty members who grumble and plot insurrections, deans […] who dream about signing their dismissal notices, and increasingly, flashy academic superstars who liven up a moribund campus with insider gossip and the latest trends in literary theory”.\textsuperscript{52} The subject matter also moves beyond merely academic issues, incorporating more varied themes insofar as they affect characters and their lives within and without the university: personal and political convictions, financial problems, romantic entanglements and so on. In other words, through satire and comedy, \textit{Lucky Jim} and its followers mock the role of the university and its members as social and cultural agents, but they also bring to the fore basic human predicaments which can be extended beyond the academic microcosm to society at large.

By way of illustration, the question of the crisis of liberal humanism underpins the plots of most of Malcolm Bradbury’s campus novels. His first one, \textit{Eating People is Wrong} (1959), is also the first attempt at a serious portrait of life at a redbrick university, where his middle-class professor Treece tries to maintain his liberal humanism under the historical and ideological pressures of the 1950s.\textsuperscript{53} Treece’s struggle, and his pathological determination not to be prejudiced, mainly stems from the matter of staff-student relationships, particularly among those whose ideas or backgrounds are radically different but who must get along precisely in the spirit of that liberalism. Although the novel is serious, humour plays a role, offsetting

\textsuperscript{51} Bradbury, “If Your Books are Funny, Please Tell Me Where”.
Treece's absorbing but passive ideological preoccupation against the humdrum day-to-day activities of the lecturers, unlikely student mishaps, and funny sketches of campus social life. Bradbury's second academic novel, *Stepping Westward*, where a British writer travels to the United States to teach creative writing at a college, introduces the theme of academic relocation, one that will prove very productive in the campus subgenre henceforth.\(^{54}\) The novel offers a reflection on power and ambition, as well as on the contrasts between two very different societies which are, however, both set adrift due to a crisis in humanist values. Humour is also present, in the form of a satiric look at the stereotypes of US universities and their traditions, but Bradbury's tone is harsher on what he regards as inept intellectuals and academic reputations which are really jargon-mongering professional hoaxes. Finally, in *The History Man*, Bradbury creates a satire on the figure of Howard Kirk, a manipulative and egomaniacal professor of Sociology, whose ambition to be "in the thick of history" destroys the lives of everyone around him.\(^{55}\) This novel, far less benevolent than the previous ones, takes a darker, more bitter look at academia.

Despite the sprinkling of humour, Bradbury's novels are serious in a way that few of their companion campus novels of the post-war period are. Comedy takes a more prominent role in subsequent tokens of the subgenre, at the expense of earnest social critique. Prime examples of this are David Lodge's *Changing Places*, *Small World* and *Nice Work* – about which more later – or Tom Sharpe's "Wilt" books, where the eponymous Wilt teaches at a vocational college.\(^{56}\) Sharpe has also written two staff-centred comic Cambridge novels, *Porterhouse Blue* (1974) and *Grantchester Grind* (1995).\(^{57}\) They are an exception to the redbrick-dominated


scene of campus fiction, but, as Carter notes, where C.P. Snow’s novels discussed the spirit of collegiality in a positive light – even if it sometimes has undesirable consequences – Sharpe’s outlook is entirely negative.58 His rankly traditional Porterhouse College is peopled by indolent, gluttonous, and self-satisfied dons who recommend for degrees those indolent, gluttonous, and self-satisfied students whose parents subscribe to much-needed college funds, while the Porter pulls a number of college strings from his Lodge.

The variety of campus novel settings has increased as well. Howard Jacobson’s Coming From Behind (1983)59 is, according to Ian Carter, a “rotting Poly” novel that heralds a new development in campus fiction.60 This is perhaps the notion behind Malcolm Bradbury’s comment that Coming From Behind is “not only [...] one step down, or across, but also one step further on”.61 It is also a comic, bitter novel whose hero Sefton Goldberg, teaching at Wrottesley Polytechnic, considers himself a failure on account of not being in Cambridge. Barbara Pym’s novel of academic intrigue An Academic Question (1986), loosely based on C.P. Snow’s The Masters and The Affair, is set in a former College of Advanced Technology (CAT). The unglamorous setting is interesting if only in the way one of the characters in the novel feels that “there was something not quite right, not exactly what one would have wished for, about an academic post at a new university that had once been a technical college”.62

Undoubtedly, the myth of Oxbridge dies hard, but the shift in traditional settings is a sign of campus fiction’s drift away from the notion of the university as an insular Ivory Tower. Academic exchange may have been the subject of Changing Places

58 Carter, Ancient Cultures of Conceit, p. 58.
60 Carter, Ancient Cultures of Conceit, p. 12.
61 Bradbury, “Campus Fictions”, p. 54.
and Stepping Westward, but Lodge’s Small World (1984) literally extends the campus setting to the whole globe. His American professor Zapp sums it up: “The day of the single, static campus is over”, to which the British professor replies: “And the single, static campus novel with it, I suppose?” It certainly appears so from Lodge’s subsequent novel Nice Work (1988), where characters move between two learning environments of such different nature as a university and an industry. In terms of the increased variety of subjects, there are recent examples such as Ann Oakley’s Overheads, centring on financial issues rather than those derived from lecturing. Alternatively, campus life may be mainly the backdrop for other plot developments, as in David Lodge’s latest campus novel, Thinks..., where his main characters’ love-lives are closely linked to their situation as lecturers and researchers but the focus is mostly on their interrelationship and not on how they carry out their work.

What then seem to be the kernels of the contemporary British version of the campus novel subgenre? To begin with, the traditional requirement of a university setting seems to take on a more flexible definition, with “university” being perceived as a community rather than a place. It is also an extended community both physically, in terms of number and type of locations at which it is found, and numerically in terms of more, and more variegated, student and staff members. In connection with this, contemporary British campus novels still favour the human heterogeneity of a redbrick or new university setting instead of Oxbridge. In this sense, having a broad cast of characters expands the narrative possibilities of the plot, permitting multiple points of view, an episodic style of narrative, and interlaced plots, such as we find in Lodge’s Small World. Secondly, the focus continues to be on the lives and antics

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63 Lodge, Small World, p. 63.
65 David Lodge, Thinks... (London: Secker & Warburg, 2001).
of staff characters mainly, and therefore the nostalgic, reminiscent perspective that
was typical of student-centred – and student-authored – novels is displaced by
accounts of professional, ideological, and social issues that affect professors. These
problems and dilemmas, being part of the human condition, are extensible to society
in general, which may go a stretch in explaining the appeal of contemporary campus
novels for general readers.

In third place, what is likely the most important reason for their appeal: the novels’
irreverent attitude towards their subject. Contemporary academic novels
consistently play on the inherent irony of those supposedly dedicated to the life of
the mind engaging in vicious political infighting and petty rule-mongering. This
sometimes translates into bitter, satiric criticism of the History Man type, and
sometimes into milder comic mockery of academic absurdities. Finally, as Bernard
Bergonzi points out, specific intertextuality emerges as a substantial feature of
many, if not most, post-1950s campus novels.66 Especially in those written by
professors or ex-professors of English, this feature can take the form of a more-or-
less explicit structural parallel with pre-existing literary works, or else of allusions
and quotations that play an important role in the characterisation of people or events
by establishing connections with English literature.

These last two elements are significantly present in David Lodge’s campus novels.
On the one hand, they belong to the group where comedy is created through parody
rather than satire. Changing Places, Small World and Nice Work are unequivocally
comic parodies of more-or-less stereotypical professor figures in university
departments of English. On the other hand, their parody is often also directed at
literary forms and critical theories, primarily in the form of recognisable allusions to

66 Bergonzi, David Lodge, p. 16.
and quotations from English literature and the main trends of literary criticism. This level of specific intertextuality, as we shall see, is a meaning-producing device in the novels. *Changing Places* nominally deals with a tangled British-American academic exchange, but is also the locus of a critical dialectic between structuralist and post-structuralist theories, particularly deconstruction. *Small World* superposes the dynamic world of academic conferences over the structure and conventions of chivalric romances of the Middle Ages and the Renaissance, while *Nice Work* brings the Victorian industrial novel to the present time. In short, in his academic novels Lodge tends to conflate literature and the people who teach it, making figures of fun out of characters in whom life and literature are intimately mixed, and who are guided by literature in their daily lives.
CHAPTER 4

CAMPUS NOVELS OF DAVID LODGE

4.0 INTRODUCTION

As was suggested in Chapter 3, *Lucky Jim* initiated a line of campus novels in Britain that challenge the status of academic institutions. It was also indicated how, on top of satirising the university and its denizens, post-1950s campus novels address a number of social, literary, and philosophic concerns. Due to his three-sided perspective as former university professor, literary critic, and author, David Lodge is especially successful in connecting literary awareness and formal considerations in his campus fiction. As a result of this central position, he uses his novels not only to explore the pretensions and shortcomings of his academic characters, but also the extent to which their subject, and the different theories of academic criticism, condition their careers and sometimes their lives. He successfully combines the traditional techniques of realistic satire with parody, pastiche, and some other innovative devices which point to the self-conscious nature of his campus fiction. Especially interesting is his constant recourse to canonised literary models and authors – usually in the form of quotations and allusions, but also by reproduction of structures and style. The density of this intertextual dimension poses a challenge to the reader, and has been imitated by other authors as well. In that sense, Lodge’s campus novels have become something of a model in contemporary campus fiction, and can be considered generically prototypical, a reference point for readers and other writers of academic novels. It
thus follows that this intertextual dimension ought also to be considered when the novels are transferred outside of their original situation of production and reception, e.g. in translation.

This chapter aims to offer a view of Lodge’s overall writing practice, and then to focus specifically on the three campus novels that have been included in the case-study. In analysing their structure and content, I have concentrated in examining to what extent generic and specific intertextuality are central and functional elements. Finally, a section on British reader reception and response is designed to establish a basis for a later comparison with the Spanish reader reception and response to the translations.

4.1 DAVID LODGE, NOVELIST AND CRITIC

David Lodge was born in London in 1935. He studied at University College London (BA, 1955; MA, 1959), and received his doctorate from the University of Birmingham in 1967. There he also taught in the English Department until 1987, when he retired in order to write full-time. He continues to be Honorary Professor of Modern English Literature at Birmingham. He has written eleven novels, along with several books on literary criticism, plays and screenplay adaptations of his own Nice Work (NW) in 1989, and The Writing Game in 1995, as well as Charles Dickens’s Martin Chuzzlewit in 1994. His numerous essays and journalistic pieces have been compiled in the collections The Art of Fiction (1992) and The Practice of Writing (1996). More recently, his novels Paradise News and Therapy have been selected for TV adaptations.¹ His most recent book of essays, entitled Consciousness and the Novel, will be published in November 2002. Lodge’s fiction has regularly featured in Britain’s lists of best-sellers, and he has twice been

shortlisted for the Booker Prize, for *Small World* (SW) and NW. He has been awarded the Hawthornden Prize and the *Yorkshire Post* Fiction Prize for *Changing Places* (CP, 1975), the Whitbread Book of the Year Award for *How Far Can You Go?* (1980), and the *Sunday Express* Book of the Year Award for NW (1988). His work has been translated into over twenty languages. All this points him out as a landmark contemporary writer of novels and literary criticism.

By his own account, Lodge’s novels take their inspiration from subjects that are close to his own experiences, such as his wartime childhood, growing up a Catholic, his time in the military, and his experiences of academia, both as a student and as a lecturer. His first novel, *The Picturegoers*, was published in 1960, followed by *Ginger, You’re Barmy*, *The British Museum is Falling Down* and *Out of the Shelter*. With the exception of *The British Museum*, these first novels are written in the realist style that Lodge cultivated as a consequence of his familiarity with the anti-modernist British writers of the 1950s. *The British Museum* departs from this rule by incorporating certain postmodernist devices into a largely realist text.

It is, however, with the 1975 publication of *CP* that Lodge thoroughly shifts from an apparently typical realism towards a more self-reflective narrative style. The novel is constructed on the basis of binary oppositions and parallels, involving a substantial amount of formal experimentation, and demonstrating his interest in structuralism. In *SW* Lodge moves even further away from realism by engaging his text in constant intertextual play with a whole set of traditional Western narratives of the Arthurian legend and chivalric romance type. As for NW, the text as a whole

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is a contemporary replica of Victorian industrial novels, including a significant
degree of structural coincidence with Elizabeth Gaskell’s *North and South*. In these
three novels, by means of devices such as structural opposition, imitation, allusion
and parody, Lodge undermines the perception of fiction as a reflection of reality and
foregrounds the nature of narrative as a construct, while humour functions as an
interface, permitting an accomplice reader to suspend disbelief in order to accept the
bizarre incongruities and highly unlikely events that are presented.

Nevertheless, according to Aída Díaz Bild, *NW* also marks the beginning of
Lodge’s return to a more traditionally realist style, partly due to his own awareness
that the issues of social inequality, difference, and conciliation that were addressed
in his novel were very much a serious reality at the time when it was published.⁵
Thus, after the academic satires of *CP*, *SW*, and *NW*, he gradually moved into more
mainstream realist fiction with books such as *Paradise News*, *Therapy* and *Home
Truths*, where characters are concerned with problems other than publishing and
tenure. Some of Lodge’s recurrent underlying themes, such as religion, identity and
midlife crises still prevail, as do the comic satire and metafictional construction of
meaning present in his previous work.⁶ His most recent novel, *Thinks...*, looks at a
new aspect of university life in that it explores the world of cognitive psychology
research through the eyes of its two main characters. One is an expert in human
consciousness who is conducting a self-analytic experiment in a stream-of-
consciousness mode. The other is a woman novelist who arrives at the university to
teach creative writing and becomes interested in his research and how it explains
her own creative practice. Although it focuses more on characters’ love-lives than

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⁵ María Aída Díaz Bild, *Aspectos metonímicos en la obra de David Lodge* (La Laguna: Servicio de
⁶ For instance, in *Therapy*, there are several monologues which are apparently the thoughts of several
secondary characters who interact with the main one; however, the reader soon discovers that these
monologues are also the result of the “writing” cure that is recommended to the main character by
his psychiatrist.
on their teaching, this novel has been characterised as a campus novel by various press reviewers, a fact which upholds this category’s validity as a definitional tool and David Lodge’s central position within the subgenre.7

As a consequence of David Lodge’s simultaneous role of critic and novelist, there has always been some interplay between his critical writing and his fiction. Up until 1990, when he published his last book on literary criticism, Lodge had published sixteen books, roughly alternating eight novels and eight books on literary criticism and theory. Lodge himself is quick to point out the ways in which his awareness of literary theory and criticism explains and informs the development of his fiction. In a short essay on SW, he claims generally that his role as a literary critic has made him “a very self-conscious novelist”.8 And in Working with Structuralism, he remarks that his fiction is “basically anti-modernist, but with elements of modernism and post-modernism”, implying that, although his style is broadly realist, it also manifests a conscious interest in literary self-reflection.9

A central influence in Lodge’s critical writing, which also has an effect on his fiction, is the thought and theories of the Russian thinker Mikhail Bakhtin. In his book After Bakhtin, Lodge discusses the key concepts of Bakhtin’s work, such as dialogism, heteroglossia or polyphony, and carnival, pointing out the advantages they present for literary theory and practice, in terms of textual flexibility and interpretive options. Dialogism, as we saw in Chapter 1, refers to the interaction between the various languages surrounding and belonging to a speaker and a listener in oral communication, or a writer and a reader through a text, which can

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9 Lodge, “Modernism, Antimodernism and Postmodernism”, p. 16.
itself enter into a dialogic relationship with other texts. For Lodge, the literary value of this concept lies in that:

Instead of trying desperately to defend the notion that individual utterances, or texts, have a fixed original meaning which it is in the business of criticism to recover, we can locate meaning in the dialogic process of interaction between speaking subjects, between texts and readers, between texts themselves.¹⁰

In connection with the dialogic quality of all utterance, Bakhtin’s “heteroglossia”, or the multiplicity of languages that are at work in a society, is a key part of any prose writer’s strategy to enter into a continuous dialogue with readers. According to Bakhtin, the novel genre reflects this polyphony, given that it is an orchestration of diverse discourses of all social extractions,¹¹ and for David Lodge, heteroglossia enables a novel to do “more than one thing” by involving many different voices.¹² Intertextuality, both generic and specific, is therefore understood as a form of heteroglossia. Finally, because it is dialogic and polyphonic, the novel exists for Bakhtin as a site of struggle to overcome the univocal, monologic utterances that characterise official centralised language. This, he argues, is achieved through carnivalisation, i.e. the process in which dialogic modes of discourse are pitched against monologic ones, opposites mingle and whatever is authoritative or rigid is subverted and mocked.¹³

Lodge has often expressed his interest in this idea of carnival. In interview with John Haffenden, he explains that carnivalesque writing is always anti-authoritarian, satirising and travestying the canonised genres and by implication the hierarchies of

¹⁰ Lodge, After Bakhtin, p. 86.
¹² Damiani, “La risa de todos estos años”.
power that those canonised genres tended to reinforce in society. Carnivalisation counteracts monologic, authoritarian and repressive ideologies, and in this sense Lodge acknowledges a particular interest in Bakhtin’s definition of the novel as “an inherently carnivalesque form, subverting monologic ideologies by laughter and a polyphony of discourses”. According to Marfa Teresa Gibert Maceda, Lodge’s arrogation of this definition offers a fitting explanation as to why he is attracted to parody and pastiche in his novel-writing, and why he has written carnivalesque – in his own words – novels about university professors while being one of them himself.

If the polyphonic novel aims to ridicule monologic or authoritarian discourses, then Lodge attempts to do the same thing by including in his novels elements of ridicule and parody that contribute to the demythification of the academic world, which stands as an authority before the rest of society. Carnival ridicules without aiming to permanently change or destroy, which is the same attitude Lodge sports in his campus novels: a questioning of the monologic institution of academia which consciously challenges it but without changing or destroying it. This, according to Brian Connery, makes his campus novels carnivalesque parodies rather than satires, since they do not present the readers with a vicious sustained attack on their subject, nor do they attempt to overthrow or alter the status quo, which is the pragmatic intention of satire. Lodge himself thinks of his writing as skimming the satirical edge of comedy by pointing out affectation and hypocrisy, but with the aim of obtaining a laugh at the expense of the comic incongruities of academic life rather than presenting a sustained attack.

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than denouncing them seriously.\textsuperscript{19} Therefore, Lodge's mild parody is mainly
directed at academic customs, literary conventions, theories, and specific texts, and
it only ridicules the novels' rather archetypical characters insofar as they are
metafictionally infused with those conventions or texts. In this respect, in his review
of \textit{CP}, D.A.N. Jones remarks that Lodge's characters "are all caricatures, but they
are not being satirised, they are being liked".\textsuperscript{20}

For this reason, the comic mode becomes important in Lodge's writing, as it
"makes sure that institutions are always subject to a kind of ridiculing criticism".\textsuperscript{21}
In addition, the paradigms of comic writing fulfil a second function in Lodge's
fiction, as they give him the possibility of reconciling a contradiction between his
critical admiration for modernist writers and his own creative practice, which had
been inspired and influenced by the neo-realist anti-modernist writers of the
1950s.\textsuperscript{22} \textit{CP}, \textit{SW} and \textit{NW} are products of such a blend, joining elements of
straightforward realist narration with the techniques and devices of postmodernist
writing. This use of literary devices, which also answers to Lodge's declared
technical self-consciousness, is directed at creating meaning, and leading the reader
in the direction in which he means his text to be understood.

\section*{4.2 DAVID LODGE'S CAMPUS NOVELS}

This section is concerned with the presentation of the three Lodge campus novels
that constitute the field of study for my subsequent case-study analysis of
translation and its influence on aspects of generic and specific intertextuality. Each
of the novels has been dealt with in turn in as much detail as has been considered
necessary for two main purposes. First, a detailed account of plots, characters, and

\textsuperscript{19} Haffenden, "David Lodge", p. 161.
\textsuperscript{20} D.A.N. Jones, "Cheerful Symmetry", review of \textit{Changing Places} by David Lodge, \textit{Times Literary
\textsuperscript{21} Haffenden, "David Lodge", p. 166.
\textsuperscript{22} Lodge, "An Afterword", \textit{The British Museum is Falling Down}, p. 170.
themes is needed in order to facilitate the contextualisation of the individual instances and examples that will be presented later. In the second place, this presentation serves to illustrate and emphasise the crucial importance of intertextuality in these novels, by offering a bird’s-eye view of their numerous connections with other texts (of the same or different genre) and other literary traditions of the British system.

By his own admission, when David Lodge decides to write a novel, he begins by jotting down ideas, notes on characters and events, while he looks for a central, unifying principle that will provide his story with a gravitational point, a structure, and an extra level of meaning. As a former professor of English literature, he often finds his central idea in a precursor book or literary tradition, which gives rise to a particular blend of intertextuality where form and content have multilevel intertextual links. This was indeed the case for his SW, for which he employed Ariosto’s Orlando Furioso, and the cycle of stories connected with King Arthur and the Round Table knights’ search for the Holy Grail. Both narratives provided him with the underlying pattern for his group of professors that travel around the world from conference to conference seeking their professional or romantic Grails, and with literary and character motifs, such as the twins element. In the same vein, the British Victorian industrial novel – especially Elizabeth Gaskell’s North and South – provided the structure, numerous literary elements, and part of the content for NW. More recently in Thinks... he has used the central concept of the conflict of the two cultures of Science and Humanities, as a means of providing more levels of depth to a story of romantic liaisons among professors at a campus.

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23 Haffenden, “David Lodge”, p. 162,
All three of Lodge’s campus novels in this study – *CP, SW, and NW* – maintain the kernel feature of being set in universities, specifically at Rummidge University, although, as we saw earlier, the university in campus novels is better understood as the academic community than as a physical space. Lodge’s university environment also follows the definitions set out in Chapter 3 in that it plays a fundamental part in the development of the plot and characters. The novels are also typical instances of the subgenre in the mild derision of university life, particularly by exploiting the image of universities as Ivory Towers, and what happens when their denizens have to face the difficulties of real life. In all three novels, the lecturers work in the field of English Literature. This offers an opportunity for the parody of the kind of discourse that is produced in academic literary criticism. Furthermore, being in everyday contact with the literary classics, characters often mix them into their conversations and their lives. The proliferation of quotations, allusions, paraphrases, parallelisms and mix-ups of their “reality” and the fiction they work with therefore turns these academic novels into textual intersections, spinning a web of intertextual references that illuminate unexpected aspects of characters and events for the reader. All this fits in with Lodge’s comment that literary allusiveness is typical of campus novels by teachers of English literature. 24

The novel *Changing Places: A Tale of Two Campuses* tells the story of an academic exchange between Philip Swallow and Morris Zapp, both of them university professors of English from Britain and the US. Their exchange initially involves swapping courses and students, but they end up also swapping homes, wives, and lifestyles. Their experiences develop in parallel, from flying out in opposite directions at the same time, to garnering esteem in each other’s departments and moving into each other’s original homes with each other’s families. The cultural

24 Bergonzi, *David Lodge*, p. 16.
and personal differences between the two main characters, and their struggles with unfamiliar surroundings are used to great comic effect in \textit{CP}, as is the contrast between British and U.S. academia. On more than one level, \textit{CP} works on doubles, symmetries and counterparts, highlighting the progression of Lodge's fiction towards what Pilar Hidalgo has called his "self-conscious realism".\textsuperscript{25} This, as I have noted, is formed by a mixture of postmodern and realistic techniques and elements, in such a way that the novel is self-revealing as an artefact while at the same time including very realistic elements, mainly through the use of extended description and solidity of specification, which, according to one of the characters in \textit{SW}, "contributes to the reality effect".\textsuperscript{26} In terms of settings, for instance, Malcolm Bradbury likens the duplicity of Swallow's Rummidge University, and Zapp's Euphoric State University, to the contrast of a drab, neo-realistic setting, and a psychedelic, quasi-surrealist one.\textsuperscript{27} Likewise, at the level of character, Swallow can be identified with that realist tradition that seems to prevail in his original environment, appearing as a paradigmatic teacher figure who is also unable to choose any particular corner of English literature to specialise in. Zapp, on the other hand, is presented as a cartoonish, larger-than-life professional literary critic, whose entirely unrealistic ambition is to write the ultimate work of criticism on Jane Austen by putting her whole oeuvre under the lens of each and every existing branch of literary theory.

On another level, the formal self-consciousness of \textit{CP} is not only couched on parallelisms and binary oppositions, but it crucially incorporates various literary and non-literary forms and voices. To begin with, each chapter is told alternatively from the point of view of Zapp and Swallow, imitating different literary styles ranging

\textsuperscript{26} Lodge, \textit{Small World}, p. 68.
from Milton to Henry James, from Shakespeare to Whitman. The high degree of literary intertextuality contributes to a sense of fictionality, not only for the reader, but also for the characters themselves, who are aware of the way literature shapes their perception of their world and experiences. In fact, as Robert Morace remarks, the numerous authors of English literature whose voices are ingrained in the text, give the novel a Whitmanesque quality overall, which Swallow himself comments on towards the end of *CP*. As another form of intertextuality, *CP* assimilates several different modes of oral and written discourse, such as letters, newspaper cuttings, critical textbooks, talk radio shows and film scripts, not merely as discursive echoes, but as revitalised textual elements with a purpose within the plot. This Bakhtinian heteroglossia is adapted to the plot, seamlessly welding form and content to the extent of having characters underline it: advising against writing a novel without an end, joking about epistolary novels in an exchange of correspondence, reading and reacting to the same news items, acknowledging the inadequacy of interaction through a radio talk show, discussing the film-like ending of their affairs, and so on.

*Small World: An Academic Romance* has been referred to by Lodge as his “modern comedy of academic manners”. In it, he establishes a parallel between the antics of academics travelling hither and thither on the international conference circuit, and the adventures of the knights of chivalric romance. He has explained in interview that at the time of beginning to write *SW*, he happened to watch John Boorman’s film *Excalibur* one day, and was so struck by the powerful story that immediately he thought of applying it to the text he was working on at the moment. Eventually,
Lodge decided to expand it and include not only the story of the Knights of King Arthur, but also the whole of the old romance tradition that encompasses the Arthurian cycle and works such as “Heliodorus, [...] the Faerie Queene, Orlando Furioso, the late plays of Shakespeare, and so on”. He was also interested in being able to weave in as much of the romance narrative codes of mystery and suspense as he could. His rationale was that by writing a novel that deliberately played with the conventions of the romance tradition, he would be able to contrive coincidences and twists in the plot that might otherwise be too far-fetched to be believable. This is further confirmed by the inclusion at the front of his novel of an epigraph from Nathaniel Hawthorne explaining that calling his or her work a romance, an author obtains a leeway as to fashion and material which a novel would never admit. By writing an “academic romance”, David Lodge places his novel in intertextual relationship with the rest of academic novels, but also, in a type of pseudogeneric intertextual relation, with the romance tradition that it recalls. According to Holmes, the incongruous combination of “academic” and “romance” help Lodge to make the treatment of both genres parodic.

Accordingly, the prologue to SW, a parodic imitation of Chaucer’s “Prologue” to the Canterbury Tales, provides a key to the interpretation of the patterns in the story by introducing the themes of medieval romance and pilgrimage, and also the comic tone by relating those pilgrimages to modern conference-going, with academics journeying hither and thither in search of intellectual illumination, meeting others on the way, interacting with them and exchanging narratives. It is precisely this transposition/adaptation of highly conventionalised romance themes into a contemporary context that simultaneously upholds and undermines their status as

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33 Haffenden, “David Lodge”, p. 162.
34 Thompson, Interview with David Lodge.
35 Frederick M. Holmes, “The Reader as Discoverer in David Lodge’s Small World”, Critique, 32:1 (1990), 47-57 (p. 48).
established literary motifs, opening up a space between SW and the romance texts that it is generically modelled on. In the Bakhtinian tradition of the carnivalesque, this space prompts a detached, humorous perspective on the part of the author towards his subject.

Furthermore, by drawing out all the analogies between SW, medieval romance and the Arthurian cycle, Lodge establishes two different narrative levels. One would be the academic novel of manners level, which is derived from the world of fact, i.e. the interaction and interrelations of contemporary university scholars. The second level of interlaced Grail-like plots, quests, obstacles, surprises, and coincidences, is derived from the world of fiction. According to Lodge, the two planes of the story are meant to fit together almost seamlessly. The Grail legend is woven into SW in two ways: on the one hand, by means of the Arthurian cycle of stories. On the other hand, by using the connection between Jessie Weston’s *From Ritual to Romance* and T.S. Eliot’s *The Waste Land*, where the latter reinterpreted the Grail legend, in the light of Weston’s work, as a displaced form of a pagan fertility rite. By using Jessie Weston and T.S. Eliot to vacate the Grail legend of its religious connotations, Lodge is free to transfer its symbolism to the more earthly sphere of academic conferences as an allegory of intellectual and creative sterility, without incorporating unnecessary spiritual connotations to his characters and events. This also enables characters’ quests to have very different objects: a quest for love, for sexual experience, for the perfect conference, for inspiration, for a job, or for professional fame.

SW is a highly allusive novel. The connection with the romance tradition is very obvious in the characters, for instance. The main character Persse is a copy of the

Knight Perceval from the Grail narratives: a pure, naive, idealistic man whose quest is for both an ideal romantic love and sexual experience. His Grail is both a girl and a dream, personified in the character of beautiful Angelica, the brainy scholar of romances, directly out of Milton’s *Paradise Regained* and Ariosto’s *Orlando Furioso*. Like the original Angelica, who had a “ring for disappearing”, Persse’s Angelica is infinitely elusive, travelling ceaselessly around the globe, always just one conference ahead of him. Together with her twin sister Lily, Angelica also doubles as reincarnation of one of the bathing maidens in the Bower of Blisse in Spenser’s *The Faerie Queene*, and furthers the *Orlando Furioso* connection via the theme of confusion between two identical girls. More importantly in terms of the novels’ metaliterary level, her professional interest in the genre of romance gives characters the opportunity to discuss, mention and quote particular examples of the genre. Among the other scholars, Fulvia Morgana, the wealthy Marxist literary critic, appears as a seductive revival of Thomas Malory’s Morgan Le Fay in *La Morte d’Arthur*. For her, as for several other of the novel’s academics, the quest—and the competition—is for a new UNESCO Chair of Literary Criticism with the highest salary and hardly any strings attached. In the meantime, Arthur Kingfisher, the “king among literary theorists”, has become sexually and academically sterile, just as in the Grail cycle the Fisher King and his kingdom were barren. His quest is for renewed inspiration and power, while many of the literary critics that belong in his “kingdom” are suffering from some kind of creative block, often stemming from a paralysing awareness of post-structuralist death-of-the-author literary theories. As one character puts it, if Kingfisher personifies the whole profession of academic literary studies, then “the profession is in a very unhealthy condition”.

37 The equation of romance with sex is derived from Jessie Weston’s already-mentioned perspective on the Grail tradition as Christianised fertility rites.

38 Morace, *The Dialogic Novels of Malcolm Bradbury and David Lodge*, p. 201.


untheoretical Persse restores Arthur Kingfisher to his power, by means of a "magical" question, the latter re-establishes his conciliatory rule over the realm of literary criticism, where different factions – literary theories – have been openly warring until then. Fertility returns to the land and its people, New York winter turns into spring, and thus the Fisher King narrative is played out in its modern version.

These are not the only references to literature and literary theory, however. In addition to commanding the whole register of romance conventions, SW contains numerous actualisations and recreations of literary texts in the form of allusions, quotes, re-enactments, parodies, parallel stories and inset tales, which lend depth and further layers of meaning to the story. Frederick Holmes correctly notes that the fact that most of the characters are professionals of literature means that they interpret their own life experiences in relation to previous texts of English literature and to the critical theories that serve to illuminate them. In this sense, SW also offers a running commentary on the literary critical tendencies of its moment, which are parodied. Given the main characters’ engrossing preoccupation with the latest critical issues, they are each made to represent each of the major positions in the spectrum of contemporary literary criticism: Zapp as a radical post-structuralist, Tardieu as the French narratologist, Morgana as a Marxist, Swallow as a humanist, and Von Turpitz as a reader-response specialist. In the novel they expound the brilliant points of the theories they support in absolute terms, but their beliefs are undermined by the struggles that all of them encounter in trying to combine theoretical abstraction not only with real literary practice but also with real life, therefore appearing as a kind of parody of themselves. The fragmentation of critical thought, and scholars’ inability to "pull together" prevents the restoration to health

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42 Frederick Holmes, “The Reader as Discoverer in David Lodge’s Small World”, p. 49.
of their critical “Waste Land”, which is only brought about by the theoretically unaligned Persse with his magical question suggesting that “what matters in the field of critical practice is not truth but difference”.43

Lodge’s third campus novel, Nice Work, is much more firmly rooted in reality than SW, presumably because it deals with more serious social issues than SW did. The backdrop to the story are the effects of Margaret Thatcher’s economic and industrial policies of efficacy and competition, cuts in public expenditure, and anti-intellectualism, but the plot itself centres on the way the university and the outside world interact in the face of economic hardship, industrial crisis, and rising unemployment. As Bernard Bergonzi has remarked, NW basically presents a replay of historical industrial and social ups and downs, by playing off the values of industrialisation and capitalism against the values of culture and academia.44 More specifically, the confrontation in NW involves the university, personified by Robyn Penrose, a feminist literary critic; and the factory, embodied in the character of Vic Wilcox, a Managing Director for a downhill-bound foundry and engineering works. The two characters are certain to clash, since Vic feels that Robyn’s work is little more than a glorified pastime, while she harbours a vague disdain for him and for what he represents, stemming from her intellectual superiority and feminist, socialist ideas.

NW has two main dimensions. On the one hand, the central theme is the confrontation of two different socio-cultural milieus, but on the other hand, this theme of confrontation is treated in a playful manner by means of intertextual quotation and parodic distance. Intertextually reproducing the structure of the Victorian industrial or “condition of England” novel, NW is very much plot-driven,
representing a turning back on Lodge's part towards a more realistic literature, making use of devices that are typical of the classical realist text, such as detailed descriptions of settings and recreation of regional and professional sociolects. Employing the same kind of pseudo-generic intertextuality as *SW*, the story incorporates all the characteristic motifs and the typical structure of the Victorian 1840s novel, though under contemporary guise. There is the preoccupation with social and economic problems that rise due to industrialisation, which in *NW* take the form of unemployment, drastic budget cuts and a crisis in all sectors including universities; a reflection on the nature of factory work, which *NW* also portrays; and several characters falling in and out of love, pursuing careers, marrying and raising children, making or losing their fortunes, but throughout it all addressing social and economic issues, which Vic and Robyn do in *NW* mainly due to their having entirely different perspectives on society and the mechanics of production and consumption of goods, be they engineering parts or literary theories. In the same way as in *SW*, the adaptation of conventional generic motifs to a contemporary context functions to revitalise them but also to reveal them as a literary construction, giving rise to a parodic attitude towards those other novels that are present under the surface narrative of *NW*.

Elizabeth Gaskell's *North and South* remains without doubt the most important source of intertextual inspiration for *NW*, with many parallels between them. *North and South* presents a cultural opposition between the rural and the industrial, as well as a social opposition between factory owners and workers.\(^45\) This double opposition is mirrored in *NW* by the clash between university and industry, on the one hand, and the conflicts between the engineering firm's management and the workers. The character of Margaret Hale in *North and South* is at the centre of these

conflicting perspectives as she moves from a rural environment to an industrial one and becomes witness to the conflicts of interest where the workers seem always to come out worse off. Robyn in NW is in the same way transplanted into a factory environment by means of a “shadowing” programme designed to bring industry and university together at a time of financial hardship for both camps. Vic Wilcox, the foundry and factory manager, is Lodge’s replica to North and South’s Thornton: tough, work-oriented and highly efficient, his priority is productivity and profit, though ultimately he is not altogether insensitive to his workers’ conditions. Robyn, like Margaret, is initially completely ignorant of the world that Vic is part of, despite being an expert critic of Victorian industrial novels. Vic, like Thornton, feels no affinity with Robyn, initially because he despises her kind of work, which he sees as unprofitable and perfectly superfluous, but later because she takes it upon herself to create unrest among his workers. Finally, both novels make use of that favourite device of Victorian novelists that ensures a happy ending: the appearance of a lost will, as a deus ex machina that resolves everybody’s lives for them. In North and South, Margaret Hale inherits a great sum of money and is then able to help John Thornton rebuild his factory. More unexpectedly in NW, Robyn also comes into an inheritance and helps Vic start his own business after he has been made redundant, himself a victim of one of the pitfalls of industrial capitalism.

This ending is one of the few points in NW at which Lodge allows the unlikely conventions of Victorian novels to undermine his convincing realist style. It also metafictionally pulls the rug from under Robyn’s feet, since throughout the novel she has gone from seminar to lecture expounding her ideas on how the contrived endings of Victorian industrial novels were meant to expose the fictionality of their subject matter, therefore protecting the hegemonic bourgeoisie and status quo from a potential social upheaval. Robyn, a fictional character here more than anywhere
else in the novel, ironically becomes a primary agent in one of those endings, obtaining an inheritance, a marriage proposal, a book contract and two career openings all in the space of a few pages. More ironically still, she offers her financial and moral support to Vic, whose figure embodies the precise neo-liberal values she is most averse to, in his own hour of need. As in those Victorian novels that it is pseudo-generically related to, personal problems are solved in NW while the wider social issues in the background remain unchanged.

4.3 BRITISH RECEPTION AND RESPONSE

The fact that campus novels continue to be written and published suggests that readers enjoy them and publishers are confident of their success. This point is commented on by both Eva Björk and Keith Wilson, who draw attention to the enormous popularity of campus fiction among academic and non-academic readerships. Lodge himself has indicated three main reasons, which are in many ways interconnected, for the appeal of the campus novel as a subgenre in his essay “Robertson Davies and the Campus Novel”. Firstly, campus novels look at aspects of human experience within a contained environment. In this microcosm of society, the conflicts and drives of human life are basically power – either administrative or scholarly – and sex, though their import is rather immediate and small-scale. For J.P. Kenyon, this presentation of the university as a microcosm is of indubitable attraction, causing readers not to regard campus novels as dealing with “real” universities, but with fictional closed communities wherein “cloistered academics” relate to each other in agreeable or – more generally – disagreeable ways.

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46 Björk, Campus Clowns and the Canon, p. 10; Keith Wilson, “Academic Fictions and the Place of Liberal Studies: A Leavis Inheritance”, in University Fiction, ed. by David Bevan (Amsterdam: Rodopi, 1990), pp. 57-73 (p. 58).
Lodge’s second reason for the appeal of campus novels is that academic characters are often portrayed as eccentric or absent-minded figures of fun and are sometimes the object of pointed satire. Many readers of academic novels, whether themselves academics or not, enjoy the comic treatment of university staff and students who are normally perceived as being most serious and rational, and their presentation as normal human beings with the same shortcomings and defects as everybody else. This is consonant with some critics’ view that academic satires are “deeply satisfying” in the way they accent the irony of those who are supposed to be the guardians and communicators of knowledge and culture stooping to petty squabbling.49

In this respect, several critics have wondered precisely why novels that set out more often than not to deliberately ridicule and fault academics are in fact highly popular among them. John Schellenberger has the impression that the popularity of novels like Lodge’s or Sharpe’s Porterhouse Blue and Grantchester Grind among academics stems from a species of identification with the characters, though perhaps in a perverse way.50 And in connection with this, Brian Connery suggests that many of the academics who read university novels, including himself, are driven to do so by “a desire to explore in fictional worlds that which is already perhaps too much with us in daily life.”51 This would also be the gist of Pinsker’s argument that “professors devour such novels because they contain just enough to seem familiar, even as their pages move steadily into territories over the top”. This aspect of comic relief, he claims, eventually gives rise to a feeling of superiority in the reader, stemming from the perception of the increasing distance between real-life academia and the daft characters and situations that are portrayed in the novels.

50 Schellenberger, “After Lucky Jim”, p. 75.
In any case, John Sutherland has appropriately characterised the campus novel subgenre as displaying a sense of cliquey interanimation, where authors “regard themselves as part of a fraternity writing for each other”. For Sutherland, in-group jokiness extends to the parody of professors themselves, so that on occasion the novels seem to be written in the form of a roman à clef where characterisations might be identified by fellow professors.

To go back to Lodge’s three reasons, in the third place, he believes that campus novels are popular because the issues that absorb the interest of academics appear irrelevant and harmless to the reader, remote from his/her real life concerns. In this sense, Lodge considers campus novels a “modern, displaced form of pastoral” which belongs to the “literature of escape”, a form of entertainment with no immediate relation to most people’s everyday lives. Malcolm Bradbury seems to agree when he states that the campus novel may be a more commonplace form because “the British novel has always been about places that are rather difficult to get into”. And all this is consonant with Terry Eagleton’s statement that the university, set somewhat apart from the rest of society, “has the glamour of the deviant and untypical”, and, as Lodge observed, provides the novelist with a closed world marked by intellectual and political rivalry and sometimes sexual intrigue.

The same explanations should apply to the reception of Lodge’s campus novels, given their position as current prototypes of the subgenre. In quantitative terms, they have attained great sales success in Britain. By 1993, according to Björk’s figures, two hundred thousand copies of the Penguin edition of NW had been sold, as well as twelve thousand hardback copies, and a hundred and thirty thousand

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53 Lodge, “Robertson Davies and the Campus Novel”, p. 171.
54 Bradbury, “If Your Books Are Funny, Please Tell Me Where”.
copies of the TV-series tie-in. Since 1993, logically, these absolute figures must have increased. As *New Wives* David Lodge’s third academic novel, what is suggested is that his fiction already enjoys a good reputation, which would have been helped by the broadcast of the TV adaptation. *CP* has been selling equally well since it appeared in 1975, having sold four hundred thousand copies by 2001. In addition, the author himself is well-known as a literary critic and reviewer, and his fiction is reviewed and discussed in literary journals, included in reading lists for university courses, and further TV adaptations have been projected.

This popularity is noteworthy in a country where by the late 1990s less than 15% of the population was going into higher education. In fact, Björk describes the readers of Lodge’s campus fiction as a variegated group, ranging from university professors to people who have never been inside a university and are not familiar with literary theories. It may be argued that the segment of readers who have no first-hand experience of university life approach campus novels as depicting a privileged milieu that is somehow remote from the lives of ordinary people, and therefore interesting. In this sense, campus novels answer to a fascination with an environment that is quite ideal: an Ivory Tower, one step removed from everyday life. Lodge’s novels in particular, with their eccentric professors and unusual events, possibly serve to confirm a long-standing suspicion outside of academia that universities are institutions full of “all sorts of queer folk, carrying on with each other something chronic”. For his part, Lodge attributes some of the favourable reception of his work to the fact that “there is something inherently funny about

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56 Björk, *Campus Clowns*, p. 9.
57 Lockwood, *David Lodge*.
59 Björk, *Campus Clowns*, p. 56.
60 Lodge, *Nice Work*, p. 244.
people committed to excellence and standards making fools of themselves”,\textsuperscript{61} and that the conflicts that present themselves in his academic world are never too serious but “relatively harmless, safely insulated from the real world and its sombre concerns”.\textsuperscript{62}

Nevertheless, there is, as we saw earlier, a very clear sense in which Lodge’s novels are directed at a more specialised readership. As Björk remarks, if the non-academic public reads about the “other” in university novels, academic readers read about their own selves, about their colleagues, their students, and especially their subject.\textsuperscript{63} It has already been noted how, combining his roles as a novelist and as an academic, Lodge endeavours to bring together straightforward narration and literary criticism in his three academic novels, establishing a multitude of intertextual links with other works of English literature and with contemporary literary theories. In this respect, he states that he writes “layered fiction” both for an educated audience and for a peer group of academics and novelists. While he attempts to provide enjoyment for his general readers by using a strong plot, and providing a witty and entertaining account of academic capers, he complements this with various layers of literary implication and reference to classic texts of English literature, which are there “to be discovered by those who have the interest or motivation to do so”.\textsuperscript{64}

Lodge’s “layered fiction” means that academic readers can read and laugh at themselves or at each other, and, in addition, an intertextual dimension in the books provides an enjoyable exercise in recognition and recall. In this way, Lodge’s novels invite a twofold reception; firstly, a realistic surface reading and, secondly, an intertextual one: one that digs out literary allusions, parodies and the


\textsuperscript{62} Lodge, “Robertson Davies and the Campus Novel”, p. 171.

\textsuperscript{63} Björk, \textit{Campus Clowns and the Canon}, p. 11.

\textsuperscript{64} Haffenden, “David Lodge”, p. 160.
metafictional dimension of the text. Any reader can access and enjoy the first layer; many will be familiar with the texts and stories that are explicitly mentioned; but fewer of them will be matter-of-factly aware of the deepest level of literary reference, camouflaged paraphrases and inconspicuous quotations embedded in the text. As an example, the general reader can enjoy the story of SW through involvement with the fictional setting and story that are presented, i.e. the adventures and mishaps of academic travellers all over the world. Meanwhile, more academic readers can see SW as a parody of the old romances and an exposition of the main literary-critical schools of the time, and can read the characters as embodiments of stereotypes from traditional romance.

Lodge seems to be, nevertheless, aware of what E.E. Kellett indicated as the main law of Literary Reminiscence: "Do not, except with due precautions, remind your readers of what they do not remember", and of what is, perhaps, just as important: the pleasure that is involved on the part of the reader in recognising an allusion, and the fact that "exactly as the common man is pleased with an allusion which he recognises, so he is annoyed with one that is beyond him". This, and his disappointing early experience with the publication of The British Museum is Falling Down, where his extensive use of parody and pastiche went largely unnoticed by reviewers until he called attention to it himself, is the reason why in his three campus novels he has tried to give the general reader some hints about his intertextual play. Markers such as explicit mentions of sources, quotation marks and radical switches in style facilitate the reader's fluid passage from layer to layer as he or she uncovers a particular reference or recalls a particular book.

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66 Kellett, Literary Quotation and Allusion, p. 21.
67 Lodge, "An Afterword", The British Museum is Falling Down, pp. 171-72.
In relation to this, it is Connery’s opinion that Lodge’s popularity with readers is partly dependent on their awareness of the author’s self-conscious parodic effort. In his view, readers’ recognition of the literary parody results in admiration for the author’s skill, but more importantly it generates feelings of self-congratulation for having been capable of decoding the parody. Indeed, the use of parody, imitation and reproduction of fragments of previous texts often serves to set up an accomplice relationship with the reader about the fictitious character of the narrative product. In the case of the extended intertextual reference in Lodge’s campus novels, Björk maintains that despite Lodge’s efforts to make his intertextual levels accessible, “outside of a narrow circle of well-educated readers, much of the intertextual play remains undetected”. Constant parodies or references of totally unknown sources, she claims, create a particularly exclusive kind of writing which is not very rewarding for the readers. She speaks in reference to a British audience – undoubtedly Lodge’s “authorial audience” – but her comment may be extrapolated to the case of a foreign audience receiving the Lodge novels through the intervention of one or several translators. Although Lodge may have opted to explicate some of his references, translators may easily have to resort to different solutions, given that foreign readers are far removed from the original implied authorial readership, and cannot be expected to share its beliefs, knowledge, values, and conventions, literary or otherwise. In the case of the Spanish translations of Lodge’s campus novels, it is one of my basic ideas that when readers lose the possibility of decoding some of the secondary or intertextual levels of these novels, they are receiving a poorer text than was originally intended, and losing an extra dimension of meaning. How the translations have been approached, how translational problems have been solved, and to what effect at the levels of

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69 Björk, *Campus Clowns and the Canon*, p. 57.

70 Björk, *Campus Clowns and the Canon*, p. 62.
(sub)genre features, content, and intertextual reference, are the basic questions underlying the case study that follows.
CHAPTER 5
DESCRIPTING TRANSLATIONS

5.0 INTRODUCTION

With this chapter, I intend to establish my theoretical approach to the description and comparison of translations, and also to set down the key notions of translation studies that support the practical part of my research. Although methodologically speaking my case-study investigation (Chapters 6, 7, and 8) moves essentially from the concrete, observable facts of a translation (the visible traces of an individual translator’s decisions) towards broader socio-literary conclusions, this theoretical foundation is organised in a top-down manner in order to contextualise my practical approach. Therefore, it moves from the social (translation norms and the strategies that support or defy them), to the individual (translation solutions and their associated shifts).

In terms of placing my research within a particular theoretical framework, the paradigms of descriptive translation studies have proved the best suited to my investigation of how generic traits and intertextuality are transferred between cultures in translation, and have provided the main tools for the analysis and explanation of translation features. The label “Descriptive Translation Studies” represents a branch of research in current translation theory, encompassing the work of several researchers. It seeks to describe and account for the processes and products of translation activity, as opposed to prescribing how and in what form it
should be carried out. In Theo Hermans’s words, descriptive translation studies “takes translation as it comes, rather than as we might have wished it”. These descriptive approaches are based on a study of texts in their context, i.e. considering how they function in regard to other aspects of socio-cultural production and reception, how they relate to these aspects, and how they are influenced by them. An important component of these approaches is therefore the view of translated texts as target culture elements.

The figure of the translator as an agent of textual change, and the influence of his/her socio-cultural environment are key ingredients in the production of any translation. In their role as mediators between cultures, translators are also problem-solvers and decision-makers. The problem-solving process, however, does not happen in a vacuum, but within a social and literary system where many types of behaviour are judged appropriate or inappropriate with reference to a cluster of conventional – and often implicit – norms. These norms are thought to influence the production of translations, acting as constraints and prompts on a translator’s choices. In other words, the existence and content of certain norms essentially conditions the underlying conceptual translation strategy or configuration of strategies that constitute the framework for making translation decisions in individual instances.

It seems, then, that the implementation of solutions to translation problems is not simply an entirely ad-hoc process, but can be said to respond partly to a certain strategy of conformity or disconformity with prevailing norms. In my investigation, I attempt to discern to what extent the translation behaviour in my case-study texts can be explained with reference to the concept of norms. This is, I am aware, a

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complicated objective, from the point of view that any evidence that I may obtain from the analysis and comparison of my case-study texts will simply consist in the visible end-result of a person’s analytic mental process that is entirely unavailable to me except in this visible evidence. It is hoped, however, that the collection of relevant data will at least allow a tentative suggestion of what norms may have been guiding the translators’ behaviour, and how those norms seem to have evolved in the periods of time separating each translation from the others. Hence, a part of the present chapter will be devoted to the concept of norms and how they can be perceived to operate in the translation process. Finally, the last sections of the chapter are devoted to translation strategies, and to a categorisation of the types of translation solutions that seem relevant to my investigation of the case-study texts.

5.1 TRANSLATIONAL NORMS

In the words of Hermans, “the content of a norm is a notion of what a particular community regards as correct or proper”. Norms are the regularities of behaviour that are implicitly or explicitly accepted by a community as model or desirable responses to certain situations. They are negotiated socially, and are widespread, as opposed to idiosyncratic factors or preferences. According to Hermans, norms can start out their lives as conventions, which come into being on the basis of social precedent. When a convention that is merely a matter of continued and accepted practice becomes more directive, to the point that deviation from it is regarded as undesirable, it becomes a mandatory norm with either a weak or a strong “ought” character. Toury further specifies that norms are informed by “general values or ideas, shared by a certain social group, as to what is right and wrong, appropriate and inappropriate”, which are applicable to specific situations as performance-

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instructions and which are not yet formulated as laws. In the field of translation practice, norms constitute basic restraints and prompts on the process of translation, conditioning translators' responses to text-related problems so that their TT will fit in (or not, as the case may be) with society's view of what is correct. Norms help translators select appropriate solutions to the difficulties they meet during the process of translation, and offer "uniform solutions for certain types of problems". This does not, however, mean that norms are invariably appropriate or applicable to every single token of a type of translation problem, principally due to their generic nature. Mary Snell-Hornby has noted that norms (or conventions), far from establishing cramping restrictions, allow for substantial creativity, since there is a great variety of potential relationships between the norm and the various realisations that are possible in the system. In other words, norms do not normally impose black-or-white translation decisions; rather, in the face of a specific translation situation, the translator can often choose to what degree s/he will conform to this or that norm.

Norms apply to translation even before a translation is begun. They have a bearing on decisions as to which text is to be imported into the receptor culture, whether it is to be translated or imported under a different form, which traditions are favoured over which others, whether mediated translations are accepted, how the task of translation is to be approached and carried out, and which linguistic variant may be used for the translation. A translation that conforms to prevailing societal norms is likely to be considered correct in the community, while one that deviates from the

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norms will at best be considered peculiar. Norms, according to Hermans, arise from at least three different sources: the source text, as the logical and chronological origin of the translation; the relevant TC translational tradition that is applied to the translation; and the existing set of similar literary compositions in the target culture, which may exert influence or offer ready-made solutions and guidelines. Ultimately, by influencing what kind of a TT is produced, norms can be said to govern the type of translational relationship that is established between the ST and the TT.

Gideon Toury has proposed a division of norms into two types. Preliminary norms are those that emerge out of an established translation policy, such as favouring certain text-types, authors or source literatures and not others, or the TC’s attitude towards “indirect translations”, those which are mediated by another language. Operational norms condition the actual decisions taken throughout the translation process. They include matricial norms, which affect the global distribution and segmentation of ST material in the TT, through omission, addition, separation into chapters and so on; and textual-linguistic norms, which affect lexical, syntactic and semantic choices, the choice of register and so on. In addition, there exists for Toury an initial norm that dictates the translator’s overall attitude to the translation, entailing a choice between the two options of an adequate translation that follows the source-system norms, or an acceptable translation that follows target-system norms. The outcome of an initial-norm decision is usually a combination of the acceptable and the adequate, as in, for example, a generally adequate translation that makes certain concessions towards rendering the text more acceptable to the TC. The inclination towards one extreme or the other informs the nature and status of

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11 Toury, Descriptive Translation Studies, p. 56.
the functional relationship between the texts, which is itself conditioned by the nature and status of the relationship between the SC and the TC.\textsuperscript{12}

For scholars working within the paradigm of Descriptive Translation Studies, the norms that are current in a community, more than any other factor, are responsible for the positioning of a text on the graded continuum between the poles of source-orientation and target-orientation, influencing the translator to produce literal, ST-oriented texts at a certain moment in time, and more functional, TT-oriented versions at another moment. As regards the actual content of the norm – its ground and scope of action – Hermans notes that it can derive from three distinct levels. It may stem from social attitudes related to culture and ideology, from general notions of translatability, i.e. what and how it is possible to translate at a certain moment, or from more circumscribed conventional norms that dictate the specific textual form and content that is appropriate for a given individual text.\textsuperscript{13} Given that socially-accepted norms are perceived and borne in mind by translators, the investigation of those norms involves the study of the choices made by a translator in reference to them. Translating is thus regarded as a decision-making process, with the translator aiming to produce the best translation possible for the context in which s/he is producing the translation.\textsuperscript{14} Strategic decisions to add or omit information, to produce a literal or a free translation of a passage, to emphasise style or content, and so on, are made not only by considering the obvious linguistic difference between ST and TT, but also by considering the social and poetic norms at work in the polysystems of both the source and the target cultures.\textsuperscript{15}

\textsuperscript{12} Toury, \textit{Descriptive Translation Studies}, p. 57.
\textsuperscript{13} Hermans, “Translation and Normativity”, p. 60.
\textsuperscript{15} Hermans, “On Modelling Translation”, p. 79.
5.2 TRANSLATION STRATEGIES

In the terms of systems theory, and of the target-oriented approach, the process of translation is conditioned by the position and function that the TT is expected to take in the target literary system. Bearing this in mind, the translator establishes a set of priorities with regard to the different aspects of the ST, whether at the socio-cultural, the literary or the linguistic level, deciding to what degree elements will be transformed in the translation – insofar as this can be a conscious decision, which is by no means always the case. As Andrew Chesterman states, the system of priorities that the translator brings to the text is largely determined and shaped by the degree of his/her conformity to the target culture system of norms for translation. This means that the translator manipulates his/her text in ways that conform to one or many of these norms, whether they be those of social or group expectations – which the translator presumably knows and understands – or of a more individual nature, such as personal convictions or beliefs. In either case, it is with reference to these sets of norms that the translator seeks to produce an “optimal translation”, i.e. the best possible in the circumstances.\footnote{Andrew Chesterman, *Memes of Translation: The Spread of Ideas in Translation Theory* (Amsterdam: John Benjamins, 1997), p. 114.} What translation strategies are implemented at this stage reflect the translator’s system of priorities.

Chesterman has differentiated two levels of translation strategies: the global and the local.\footnote{Chesterman, *Memes of Translation*, p. 90.} On a global level, decisions are made by the translator or the commissioning agent that affect the general character of the text and its overall intended function within the target culture, thereby establishing what Toury would call the “initial” and “preliminary” norms.\footnote{In the context of a study such as this, where the main source of information is more or less explicit (or implicit) textual evidence, it is inevitable that the intended position and function of a text can only be inferred through speculation, and are only therefore the “apparent” intended function and position. It is with this reservation that I employ the term “intended” in this and the following chapters.} These are, for instance, preliminary decisions on reader...
orientation, on what kind of relationship should link the ST and the TT (translation, adaptation and so on), and on how closely the TT should follow the ST. They can be considered “planning” strategies, and they are often formulated explicitly, for instance in the case of a children’s adaptation of a text or in the case of abridged versions. Chesterman’s local level strategies are those translation procedures that are carried out during the translation process, in response to particular textual problems that arise. Wolfgang Lörscher has referred to these procedural strategies as “potentially conscious” solutions to problem points in the text; that is, they are implemented when the flow of the material translating process is interrupted by a knot in the fabric of the text, and they can be consciously formulated, when the translator is questioned about them. Lörscher’s description of these strategies as “potentially conscious” testifies to the fact that translation strategies are psychological entities that exist in the translator’s mind. They may exist prior to the TT, and be invested with an intentionality that informs it; they may be consciously formulated by the translator when questioned, but in most cases they are not directly observable in the TT. On the contrary, translation strategies can usually only be inferred from the type of translation solutions and procedures that are visible in the text, and by assessing the nature and extent of the shifts to which they give rise. Even then, it is not always possible to judge whether a translator’s response to a textual problem answers to a strategic decision on his/her part, or is simply the realisation of the interiorised, automated response of a professional. Most particularly for a descriptive study of translations, which aims to reach its conclusions by means of textual observation and comparison, it becomes necessary to distinguish between translation strategies, or the abstract blueprint which is established consciously or subconsciously for the translation (with Chesterman’s distinction of global and local levels still being valid), and the actual translation.

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techniques (which I shall generally refer to as translation solutions or procedures, and about which more later) by way of which the translator attempts to carry out this abstract plan on the TT.

It was pointed out earlier that Toury proposed a categorisation of translations as adequate or as acceptable translations, with a graded continuum in between, depending on how the initial norm led translators to lean closer to the SC or the TC. This binary scheme, where translations are placed on a single axis according to how they rate in relation only to two points of reference, becomes too simple if we consider all the additional constraints that operate on the translation process. As Hermans points out, the existence of an initial norm – as per Toury’s classification – is complicated with other factors, such as “how the source text is viewed, whether it or similar texts have been translated before, whether the translation is made for import or export, by a speaker of which language, for what audience or purpose” and so on.20 All these factors modify translators’ decisions so that the overruling concern is never simply choosing between “adequate” and “acceptable” versions for the translation of any one text element. Rather, translators tend to mix and match amongst a series of available options – selected and applied on the different textual levels – that will sometimes prioritise recreation of ST elements in a more target-oriented manner, and sometimes retention of those elements in a source-oriented manner. To a great extent, the task of the translator involves setting priorities for his/her text, at all levels, from the text as a whole to particular words and phrases.

Thus, the configuration of translation procedures employed in a translation can build up a picture of a translator’s conscious or unconscious tendency to either bring the text closer to his/her target audience or to make his/her target audience

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20 Hermans, Translation in Systems, p. 77.
move towards the text. However, this tendency must not be seen as the result of a series of choices between pairs of “adequate” vs. “acceptable” translations, but rather as the result of many ad-hoc decisions – some norm-dependent, some simply a matter of individual inclination – that address the immediate textual and extra-textual issues that bear on the process of translation. As such, it seems more appropriate to follow Hermans’s suggestion to talk about “source-oriented” and “target-oriented” translation solutions, labels akin to what James Holmes termed an “exoticising and historicising” translation practice – where ST aspects are retained with as little change as possible, rather than modified – and a “naturalising and modernising” translation practice – where ST aspects are re-created by adapting them to the TC as far as possible.

5.3 TRANSLATION SOLUTIONS

By accepting the existence of norm-directed manipulation, it becomes apparent that the process of translation of a text, whatever its orientation or focus, proceeds by way of the implementation of specific translation solutions. The character, use, and aptness of these solutions (also called “procedures”, “methods” or “strategies” by different authors) have been a main concern of translation theorists, with the result that taxonomies have been elaborated by different scholars, according to the type of translation research they were carrying out: language-oriented (Newmark’s “translation procedures”, for instance), text-type-oriented (as with Mary Snell-Hornby’s integrated approach), culturally-oriented (for example, in Ritva Leppihalme’s work on translating allusions and clichés), and so on. Although it is clear that the epistemological interest of the scholars motivates the form and divisions of their classification schemes, a close look at the various classifications shows a degree of overlap in the categories set out by the different theorists, or at

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21 Hermans, Translation in Systems, p. 77.
least in the nature of the transfer that each procedure presupposes. In other words, it appears from the various classifications that a term such as literal translation denotes a procedure that seems to be present in the translation of single words, sentences, or whole texts, as are other solutions like explication or substitution (often under different labels).

The similarities between the categorisation schemes, which are shaped by the specific purpose of different research interests and yet coincide to a significant degree, facilitate the establishment of a working classification that will be used in my study to organise and delimit the translation phenomena that have obtained in the texts under scrutiny. Needless to say, this working classification is shaped by the epistemological purpose of this researcher as much as any other, and is adapted to the nature and character of the specific examples of translation phenomena that I have found in Lodge’s campus novels, always from the viewpoint of generic and specific intertextuality.

The classification partly draws on Andrew Chesterman’s 1997 classification of what he calls “translation strategies” 23 I have already explained that the primary focus throughout this study is mainly on the levels of cultural and literary reference, as it is shifts on these levels that influence the intertextual qualities of Lodge’s academic novels. Hence, translation solutions have been noted insofar as they affect the cultural and intertextual levels of the text. Procedures that entail purely formal changes (e.g. Chesterman’s “syntactic” and “semantic” strategies), such as transposition or phrase-structure changes have largely been disregarded, unless they contribute to a larger-scale shift (in textual transitivity, for instance) with macro-level consequences. Some others, such as “Ø-translation”, have been redefined or

23 Chesterman, Memes of Translation, pp. 87-116.
complemented. Furthermore, because literary reference in all its different manifestations is such a significant feature of David Lodge's academic novels, and plays a major part in connecting them to the academic subgenre, some specific categories have been adopted as proposed by Ritva Leppihalme in her 1997 book *Culture Bumps*. Occasionally, alternative labels given by different scholars to the same solution have been provided for informative purposes.

5.3.1 Ø-translation

The term Ø-translation refers to a translator's decision not to provide a TL version of a ST fragment. This decision may take two different forms: either the translator may decide to maintain a textual fragment in its SL, or s/he omits a portion of the ST altogether. Ø-translation where the SL is maintained was labelled "borrowing" by Jean-Paul Vinay and Jean Darbelnet when it is applied to a single text unit due to a lexical gap in the TL, for instance a cultural item that does not exist in the TC. Unchanged ST proper names are also instances of Ø translation, in those translating communities where the norm is to keep them in their original form in the TT.

The effect of an SL fragment embedded in the TL text is usually to emphasise the cultural and linguistic specificity of the ST. In the case where TC norms are tolerant of Ø translation of certain text aspects, such as proper- or place-names, this effect is diluted for TL readers, who normally expect this type of translation behaviour. On the other hand, a high ratio of seemingly unmotivated SL fragments in a TT - not, for example, those which appear as a coherent part of a highly multilingual work

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24 Leppihalme, *Culture Bumps*, pp. 78-105.
26 By way of illustration, a norm shift seems to have taken place in Spanish translations of children's literature, from frequently Hispanicising names in translations in the 30s and 40s (see, for example, the first Spanish translations of the "Just William" series), to maintaining them in the original form nowadays (see, for example, Jeremy Munday's overview of the Spanish translation of J.K. Rowling's *Harry Potter and the Philosopher's Stone*, in Jeremy Munday, *Introducing Translation Studies: Theories and Applications* (London: Routledge, 2001), pp. 121-23).
such as T.S. Eliot's *The Waste Land* - may contribute to distancing the TL reader and hindering the reading process. Presumably in order to counter this effect, often a Ø-translation is glossed by a TL explanation in its co-text or in a footnote. This approach allows the text to keep its local colouring, while facilitating comprehension by the TL reader. On the other hand, where Ø-translation takes the form of an omission, ST items are deleted in the transfer between languages. This information cannot even be inferred, so it is effectively lost for the TL reader, which may affect his/her interaction with the text.

The frequency of use of Ø-translation is very low compared with other solutions, which may be due to several combined factors such as professional ethics (the translator considers that his/her responsibility is to provide the reader with an integrally translated text), and the translator's professional skills, which lead him/her to automatically pre-select appropriate solutions when potential translation problems arise. In connection with this, it must be pointed out that omissions are often merely the consequence of an oversight on the part of the translator, and not necessarily the result of a conscious decision. Notwithstanding, where a translator does indeed make a conscious decision to employ Ø-translation, and especially where s/he chooses to omit ST passages, this may answer to one or several of the possible reasons offered by Leppihalme's interviewed translators in *Culture Bumps*: lack of resources, lack of time, lack of knowledge, lack of space, a desire to make the text more fluent, laziness, perceived insignificance of the allusion, boldness, cowardice, or arrogance.27

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27 Leppihalme, *Culture Bumps*, p. 89.
5.3.2 Literal Translation

This solution is defined as the application to the text of the minimum number of changes required for its comprehension by the target reader, with the translated segment being, in Chesterman's words, "maximally close to the SL form, but nevertheless grammatical". The changes involved are generally those required by the TC language system and apart from these changes words are translated directly and literally, as if they had no more than one meaning. The motivation to employ literal translation may stem from various sources, for example the translator's confidence in the transcultural nature of a given item (often accompanied by the disinclination to patronise or "translate down" to the reader), or a gap in his/her cultural competence which brings about a lack of TL alternatives, or the belief that it is not in the translator's task to take responsibility for the words of the ST, and that unduly modifying or clarifying them exceeds his/her prerogative as translator. In any case, the choice of literal translation means that the translator only takes on the responsibility of interlingual transfer, and s/he trusts that the mere translation of ST language will carry out its function in the TC as well. Use of this technique is widespread among the translating community; already Eugene Nida considered it one of the basic steps in his analysis of translation in Toward a Science of Translating, and indeed Peter Newmark, who labels it "transference", assigns to it the status of a default value in translation practice, though admittedly he conditions it to there existing a degree of semantic correspondence between SL and TL.

In terms of effects, literal translations sometimes appear artificial or betray the underlying SL structures. If the TT literally reflects the syntactic construction of the SL (what Kitty Van Leuven-Zwart calls "syntactic calque"), this may affect the

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28 Chesterman, Memes of Translation, p. 94.
TT's readability, whereas in the case of lexical items (Van Leuven-Zwart's "lexical calque"), significant changes in meaning may occur.\textsuperscript{31} In any case, with literal translation the TL reader is to a great extent left out of the communicative scheme, and no attempt is made to tailor the text to his/her socio-cultural context. The literal translation technique may be appropriate in cases where a reference to the source culture is sufficiently transparent for the TL readers, for instance where there exists a geographical or cultural proximity, or in a situation of biculturality. But in most other cases, the consequences of this procedure are of a negative kind. At best, the resulting translation may fall "flat" due to the loss of connotations that would have been present for SL readers, and which are not recreated in any way in the TL. Especially when considering texts with many levels of signification, such as a meaningful literary subtext, this type of translation results in the loss of important textual material, for instance the neutralisation of humour, irony or parody. At worst, the translation, though brief and concise, fails to cross the cultural barrier for the TL reader, who becomes aware of what Ritva Leppihalme has termed a "culture bump".\textsuperscript{32} This phrase, which derives from Carol Archer's research on teaching, describes a textual segment that, without being unintelligible to the reader, is puzzling and obscure, thus failing to engage him/her in the reading process.\textsuperscript{33} The reader cannot easily integrate this segment with the rest of the text because s/he does not possess the necessary information to decode its functional meaning.

On the level of intertextual reference, the use of literal translations generally overlooks the fact that an allusive segment may be deeply related to the ST as a whole, and that intertextual references and connotations may constitute an integral

\textsuperscript{31} Kitty M. Van Leuven-Zwart, "Translation and Original: Similarities and Dissimilarities, II", \textit{Target} 2:1 (1990), 69-95 (p. 75).

\textsuperscript{32} Leppihalme, \textit{Culture Bumps}, p. 4.

part of the text’s overall meaning. By depriving the reader of connotations and secondary associations, the response-triggering device of intertextual allusion is deactivated in the transfer, and readers’ participation in creating and interpreting the text is curtailed. In spite of this, Leppihalme’s findings about English-Finnish translation of allusions show a greater frequency of the literal translation technique – which she calls “minimum change translation” – than any other available solution, a tendency that may well apply to other language-pairs as well. Whether this is due to a lack of cultural familiarity on the part of the translators, or to a wish to faithfully respect the style and words of a text that is authoritative as the source of the literary allusion, Leppihalme’s findings would further sustain Newmark’s claim that literal translations are often a default option for translators.

5.3.3 Prevalent Translation

This technique involves the translation of a piece of SL preformed material, such as an idiom, proverb, or phrase, by employing a pre-existing TL phrase that refers to the same type of situation and fulfils the same type of function in the TC. This prevalent translation is most often one that is already conventionally established and accepted in the TC. The existence of a conventional standard translation in fact usually indicates that an idiom or phrase has transcultural validity. This is often the case with phrases and images of biblical origins, for instance, which are transcultural in societies of Judaeo-Christian tradition. The great advantage of a prevalent translation is the assurance that it will be recognised, and at least some of its connotations understood, by a majority of the target readers. However, this solution may not prove to be the most adequate in cases where an idiom is motivated by a particular ST event, that is, if it is inherently connected to a structural or situational feature of its co-text, or if it is meant to provide more

34 Leppihalme, “Translating Allusions”. 
information, humour or irony about the event. In these cases, the translator may have to contemplate alternatives to what would be the usual prevalent translation, such as modifying it so that it will be more coherent with the textual situation that justifies its appearance.

In relation to intertextual reference, Leppihalme considers a prevalent translation a fixed sequence of TL words that is recurrently used to translate an allusive phrase and which facilitates the evocation of the alluded text. The English-Finnish example that Leppihalme proposes, Hamlet’s “To be or not to be”, is also valid in Spanish, where the prevalent translation “Ser o no ser” would equally be recognised by the TL reader as a quotation from Hamlet. Other examples of prevalent translations could be the titles by which foreign literary classics are known, which need not always correspond to a literal translation. For instance, the Spanish translation of The Call of the Wild, Jack London’s story of a dog’s life in the wild Klondike, has been consistently entitled La llamada de la selva, where “selva” hardly seems the appropriate way to refer to those frozen northern lands. Similarly, the Spanish version of the film Some Like It Hot is entitled Con faldas y a lo loco, which is altogether different. Nevertheless, these are both prevalent translations for their English-language STs.

It seems that prevalent translations on the level of literary reference and allusion are usually provided by pre-existing TL translations of whatever text is alluded to or quoted, though of course their being established as prevalent translations depends on a large sector of the TC readership being already familiar with them. In other words, “Ser o no ser” is successful as a prevalent translation because a large enough sector of Spanish readers knows it as the introductory phrase of the Spanish Hamlet’s monologue. This brings me to a not unimportant point relating to a
reader’s act of recognition when an intertextual reference is transferred by means of a prevalent translation. It could be assumed that the existence of a prevalent translation is almost a guarantee that an allusion that is transferred in this way will unfailingly point the reader to the appropriate referent in terms of which literary work is being brought to bear on the text at hand. While this is probably true, it must be remembered that a prevalent translation will point primarily to an already-translated version of a literary work, and only at a second remove at the originating text. In other words, if a text that includes the phrase “to be or not to be” as an allusion is translated by using the Spanish prevalent translation “ser o no ser”, an average reader’s recognition and identification of the allusion will send him/her back to the Spanish translated version of Hamlet, with its particularities and idiosyncrasies, rather than to the original Shakespeare. This could potentially mean a slight disadjustment between the allusion, the referent itself, and the culture-mediated version of the referent that is available to the reader, a disadjustment that may be evident at different levels of the text, such as the choice of vocabulary and syntax, the grammar, the tone, and the images that are linked to this alluded literary text in the reader’s mind.

5.3.4 Substitution
This technique, also called “cultural filtering” by Chesterman, provides a creative solution for a translator who wishes to recreate some of the ST’s connotative associations for the TL readers, using an entirely different, TC-based referent, but approximating the meaning and connotations of the ST. It involves the translation of SL culture-specific terms by their TL functional equivalents, which of course conform to TC norms. It differs from standard translation in that standard translation utilises a ready-made TC version of the same ST referent, whereas in substitution the TL item, although functionally equivalent to the ST element, has a
completely different referent. Substitution is useful when instant comprehension on several levels is required of the TL readers, since a cultural equivalent provides a straightforward referential shortcut, and is usually richer and more expressive than a neutral explanatory translation would be. In the case of literary reference, substitution would involve the use of a TC literary item which is functionally equivalent to a ST literary item. This is the case, for instance, in the translation of “eighteenth-century broadsides” (CP: 17) as “los romances de ciego del siglo XVIII” (IC2: 23). Spanish “romances de ciego” were oral narratives of events, recited by blind men on streets and squares. With their themes of crime, love, honour and revenge, they appealed to the popular taste of those who had no other means of learning about the events of their time, and became an oral tradition that was handed down through generations. They can therefore be regarded as an oral counterpart to the English broadsides or printed pamphlets that were also used for notices, ballads and comments on contemporary events; and the substitution of one for the other in the translation of CP benefits precisely from this correlation in the reader’s mind. Although the literary form is different, both “romances de ciego” and “broadside” fulfilled a similar function in their respective literary and social systems.

The most common objection to substitution as a translation solution refers to the fact that the explicit incorporation of obvious TC material exposes the reality of the translation as a medium. In other words, if the plot and characters appear to have been transported into an (obviously unintended) target cultural environment, this weakens the reader’s illusion of participating in a foreign text. In addition, the incongruous mixture of material from both cultures could lead to tension between elements within the text, and create more confusion for the reader than an obscure reference. These reservations, as well as a reticence to significantly alter the ST are probably the reasons behind translators’ scant use of this procedure.
5.3.5 Explicative Solutions

This set of explicative solutions, sometimes generally called “amplification”, seeks to maintain the informative load of a cultural or literary reference, so that semantic meaning is considered more important than other associations or connotations of a literary or thematic kind. They are thus based on providing complementary information not present in the ST, wherever the ST material is expected to encounter a gap in the target reader’s experience. Explication can occur through a quantitative increase in textual matter (addition of explanatory text), but also through paraphrasing, or what Leppihalme has called “reduction to sense by rephrasal”. Incomprehension is thus avoided, and the cultural gap is bridged, but at the same time the text’s poetics is modified, and the author’s style altered, usually in the direction of neutralisation. Further disadvantages may include the increase in the length of the translation and the informative imbalance of the text. The motivation to use explicatory translation strongly depends on the translator’s perception of and attitude towards his/her audience. Some translators are willing to undertake some background search on an SC item in order to provide a complement to what they expect their readers to know, and include that information in the text surrounding the item, or as a footnote. Others refuse to “translate down” to the reader, and leave it up to him/her to investigate further on obscure items in the text. Either way, the translator has to first make a judgement on the level of SC knowledge and motivation to learn of his/her readers.

5.3.5.a Addition

On the level of literary allusion and reference, the explicatory procedure of addition can take two differentiated forms. External marking, as defined by Leppihalme, consists of the inclusion of different “hints” which are integrated into the text
surrounding the allusion.\textsuperscript{35} For example, the translator may state the source in the co-text or have characters suggest that an expression is a quotation. On occasion, s/he may add quotation marks or insert other typographical alterations, signalling the marked text as originating elsewhere. However, the translator may prefer to leave the main text free of this signalling and opt instead for a peritextual form of external marking, in the shape of footnotes or endnotes, or even general explanations in a “Translator’s Preface”. This peritextual option, frequent also where other types of culture-specific items are concerned, functions to draw attention to the existence of the translator and sabotage the illusion of his/her invisibility, and is therefore rejected by certain translators.

On the other hand, \textit{internal marking} is an extension of the style of an allusion itself. According to Leppihalme, a reader is able to distinguish an unidentified reference, allusion or quotation in the ST if only in the way its style or register differ from its surrounding text.\textsuperscript{36} By way of a stylistic change in the form of a sudden shift from, for instance, down-to-earth to poetic language, the reader is alerted that something special is happening. One option for the translator is to heighten these stylistic differences so that the reader will realise that something out of the normal is happening in the text, even if s/he cannot identify the referential source. Different poetic devices, such as archaisation or rhyme can be used to “dress up” an allusive textual fragment that is recycled in the text at hand, or the translator may decide to use a previously existing translation of the alluded text which presumably emphasises its poetic value, but which is not expected to be familiar to the reader as a prevalent translation. Both of these permit the reader to at least perceive the stylistic change, and to interpret it in some way in relation to the text. However, Leppihalme notes, it is rare for translators to resort to this technique.

\textsuperscript{35} Leppihalme, “Translating Allusions”, p. 183.
\textsuperscript{36} Leppihalme, “Translating Allusions”, p. 183.
5.3.5. b Paraphrasing

Paraphrasing, or reduction to sense by rephrasal, appears to be frequently used in translating highly culture-bound items, such as idioms, and equally allusions and quotations. This technique is mostly used to accentuate the semantic or pragmatic purpose of a SL segment, at the expense of its idiomatic character. An example provided by Leppihalme involves the translation of “He had seen the writing on the wall” (a biblical allusion), into the Finnish sentence “He saw clearly the intimations of disaster”. The advantage of this solution lies in smoothing out any potential culture bumps. However, it also neutralises the idiomatic poetry, the roundabout way in which the author brings a certain image or idea to the reader, and the way the reader participates in its activation, since textual puzzles are solved for him/her beforehand. Leppihalme is aware of these drawbacks, and conditions the usefulness of paraphrasing to the function of the allusion or reference in the context, whether it is mostly a lexical element, or if on the contrary it has thematic importance.

Needless to say, any taxonomy of translation procedures can never be other than an ideal construct and an heuristic tool. It is often the case that the translation of a specific text unit can be seen as the result of varying methods, or even a mixture of several of them, and boundaries between them are often blurred. Translators tend to treat translation problems case by case, and they very often combine different techniques in their effort to provide a satisfactory translation that prevents textual or connotational losses from occurring. Some combinations are particularly common, such as the combination of a Ø-translation where an ST fragment is kept in the SL, with an explanatory text in the form of a co-textual addition, or of external marking (footnotes, for example). These two solutions would be observable separately, but

37 Leppihalme, Culture Bumps, p. 99-100.
in a case where an allusional phrase is omitted completely, and then the general meaning of the segment is conveyed in a paraphrase, it would be difficult to isolate the procedures of Ø translation and paraphrasing, which have probably been thought by the translator as a composite solution. Literal translation plus explanatory text or external marking is another frequent combination. A more complex combination is the substitution of TC material in order to bring it culturally closer to the reader, accompanied by internal marking that renders that material stylistically more prominent. The final effect of such a combination would be one of semi-recognition, where the reader thinks a textual fragment may be a literary allusion because of its enhanced style but cannot locate its origin accurately due to its having been mixed with TC elements.

5.4 TRANSLATION SHIFTS
The given examples in the previous section illustrate how translators’ solutions hardly ever result in a precise, two-way equivalent translation. On the contrary, translation solutions regularly generate associated shifts, or subtle slippages between the ST and the TT where the meaning or function of an ST element undergoes a consequential change in the transfer to the TL. Visible though they may be, it is not always possible to say whether a shift is intended (i.e. brought about in an effort to make a particular text segment conform to the prevailing strategy or norms), or unintended (an unexpected side-effect of a translation solution.) However, it is my opinion that translators, as particularly language-sensitive professionals, are mostly aware of what unintended shifts are brought about by their choices, and accept them as a consequence of their decisions, thereby integrating them legitimately in the overall strategy of the translation. Accordingly, my case study research does not attempt any type of differentiation between intended and unintended shifts, assuming the translator’s acceptance and responsibility for both.
Translation shifts may be classified as either obligatory or optional. Obligatory shifts are dictated by the limits of linguistic and cultural translatability and the nature of the translation process. Being rule-governed (grammar, syntactic requirements, and so on), they allow the translator no choice. Optional translation shifts, on the other hand, originate in the constraints imposed on the translator by external and internal factors, and often result in the translator’s distinct choice to adapt the text to the needs of the socio-cultural context or the type of reader, for instance by way of semantic amplification or reduction, cultural substitution and so on. Due to their optional nature, they offer evidence as to what type of decisions are made by translators in their role as problem-solvers, and they constitute the basis for investigating the motivations and strategies that underlie the translation process.

Van Leuven-Zwart distinguishes between microstructural and macrostructural shifts. Generally speaking, microstructural shifts occur on the micro levels of the text (e.g. grammatical, lexical, semantic), while macrostructural shifts occur on higher levels and change important textual elements (characterisation, transitivity, narrative time and events) in an overall way.39 Macrostructural shifts may be intended (e.g. genre change or adaptation for a children’s readership), or be the result of a persistent accumulation of microstructural shifts that change the character of the text as a whole. Van Leuven-Zwart also crucially points out that, in order for a microstructural shift to cause a macrostructural one, it needs to be present throughout the translation with a certain frequency and consistency, affecting the interpersonal, ideational or textual functions of text segments.40 In other words, it is not one single shift in word or phrase that has an effect on the totality of the text, but a consistent pattern of such shifts throughout the text.

According to Kitty Van Leuven-Zwart, the visible shifts in a translation in relation to the ST, whether microstructural or macrostructural, reveal the strategies of the translator, according to his/her interpretation of the text and to the translational norms which have influenced his/her choices. This is consistent with Hermans’s statements that norms help the translator in selecting appropriate and uniform solutions for certain types of translation problems, and that the analysis of the various decisions made by a translator, as supported by textual evidence, allow the reconstruction not only of the current norms, but also of the prototypes and models which inspired those norms, and which throw light on translators’ motivations. The consensus therefore seems to be that translation shifts are a direct effect of the translator’s chosen solutions, and so they can also be regarded as evidence of the translator’s strategies, which show his/her attitude to the text on different levels, and provide clues as to the TC societal and poetological norms that are at work during the process of translation.

In Toury’s opinion, the reconstruction of strategies and norms is achieved by means of a textual analysis, where textual norms may be inferred on the basis of comparing source and target texts, mapping out patterns of similarities and differences (i.e. shifts) between them, identifying the overall strategies and then hypothesising a reconstruction of the process and reasons that led to such strategic choices. Evidence of complementary extratextual norms may be found by examining the translation’s epitext: reviews of the TT, descriptive or prescriptive texts about translation contemporary to the translation itself, and other socio-cultural phenomena such as critical, academic, and editorial attention.

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44 Toury, In Search of a Theory of Translation, pp. 57-59.
In the comparative case study that follows, it is my initial premise that the use of
different translational solutions by the translators in the corpus gives rise to shifts of
varying degree and nature between the ST and the TT. My investigation takes the
form of a comparison between STs and TTs, concentrating particularly on the
elements of rhetoric, narrative, theme and structure that mark them specifically as
belonging to the subgenre of campus novels. As I argued before, these marking
elements are intertextual on two levels: paradigmatically, they outline the extent of
generic membership, and syntagmatically they constitute the level of literary
reference. As significant characteristics of the subgenre, intertextual markers
become functional in Lodge’s campus novels, but they are clearly dependent on
culture-specific texts and literary traditions that are not readily available to the
Spanish target reader. In accordance with his role as intermediary, it would be
expected that the translator’s choice of solutions would work to narrow the
perceived gap between the ST’s context and the target reader’s literary experience,
making the unfamiliar more accessible. Confirming or disconfirming this
hypothesis would be one useful outcome of the case-study research.
CHAPTER 6  
LODGE'S CAMPUS NOVELS IN SPAIN: 
RECEPTION AND TRANSLATIONS

6.0 INTRODUCTION

The basic aim of this case study as a whole is to locate in David Lodge’s campus novels, those (inter)textual aspects that connect them to the academic subgenre, and to analyse how their translation into Spanish modifies the overall nature and character of the text, thereby influencing its reception by TC readers. The case study is divided into three chapters, and a conclusion that brings together the theoretical aspects that have already been discussed and the findings from the text-based research. This allows for ease of reference, but it also responds to the method advocated by several translation theorists who work with descriptive and comparative approaches: a movement from the general to the particular throughout the three chapters, and back to the general in the form of conclusions.

In accordance with José Lambert and Hendrik Van Gorp, and Toury, the first stage of my research (Chapter 6) serves to examine the context in which the TTs appear, including the texts and paratexts that surround them, and establishing their status, location, and function in the target polysystem. The second and third parts of the case study (Chapters 7 and 8) would correspond to Toury’s stage of textual

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1 José Lambert & Hendrik Van Gorp, “On Describing Translations”, in The Manipulation of Literature, ed. by Theo Hermans, pp. 42-53 (pp. 52-53); Toury, Descriptive Translation Studies and Beyond, pp. 37-38.
comparison of the ST and TT, where the different shifts and changes would define the relationship that connects them, and would yield the information about underlying norms belonging to the translator, to the professional situation he does his work in, and to the socio-cultural situation of the receptor culture. Similarly to Lambert and Van Gorp’s proposal, in this last stage of textual comparison I have moved my focus from the macrostructural levels of the text – such as the translation of generic intertextual properties and architextual connections, which are addressed in Chapter 7 – to the microstructural level of the transmission of specific intertextuality, which is analysed in Chapter 8.

Finally, the combination of these three parts with the theoretical framework that has been sketched, leads to broad conclusions about the character, place, and function of the three TTs in the TC; the effect of certain translational choices and strategies on their more significant generic features and hence on their reception by target readers; the siting of the TTs between the source-oriented and the target-oriented “poles” of translation; the type of relationship that obtains between these TTs and their originating STs; and to what extent TC norms could be responsible for the choices and changes made in the translation process. And although these will be just some conclusions of this particular case analysis, it is reasonable to expect that the methodology of comparison of STs and TTs, and the study of translation shifts and their effects, will produce helpful information to be used in further studies and could have implications for the practice and teaching of translation.

It has been pointed out that in his book *Descriptive Translation Studies*, Toury formulated a methodology for the comparison of a translation with its ST in which he first recommended locating the TT in the relevant target literary system, in terms

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of position and apparent function. This step, which examines the TT as a finished product that is directly available for observation, is also the initial focus of my study. In this chapter, the location of the TT in the TC system begins by comparing the two socio-cultural contexts and genre traditions, where the Spanish tradition has no clear slot for the campus novel subgenre of fiction to begin with. Issues of readership and reception of the TTs are inextricably bound with the new position and function of the novels in the TC polysystem. This, together with the TTs' publishing history and their critical reception, should provide pointers as to how they are received and integrated in the Spanish reading public's literary schemata. Then, the translation history of Lodge's campus novels in Spain is detailed and analysed, as is the character of the three different translators that have worked on them at different times, and how their backgrounds and circumstances have influenced the overall qualities of their TTs. Such a first step, it is hoped, should fulfil Toury's requirement that a translation be properly contextualised prior to being described.³

6.1 SPANISH RECEPTION

There is always a wide array of factors, both literary and non-literary, involved in the reception of a text in a target culture. Literary factors centre on the character and state of the indigenous socio-literary system (prevailing norms, presuppositions, poetics, and so on) and how receptive it is to the introduction of new or different foreign texts. Non-literary factors centre mainly on economic, political, ideological, and other criteria as to what may or may not be imported into the system, under what circumstances, and in what form. Literary and non-literary factors are closely intertwined, with the state of the literary system influencing publishers' selection criteria, and their decisions in turn altering and reshaping the literary system.

³ Toury, Descriptive Translation Studies, p. 29.
6.1.1 Socio-Cultural Background

In relation to the socio-literary context, a quick overview of European literary systems suggests that a separate literary subgenre in the image of British (or North American) contemporary academic fiction is not to be found elsewhere in Europe, whether the reason be the differences in the university system itself, or simply a different way of experiencing the passage through a university education. There is, to be sure, a small group of German texts, normally taking the structure of a psychological *Bildungsroman*, which tend to focus not so much on university life as a whole, but on teacher figures, and only occasionally on their relationship with one or more students. The university as a geographical setting and as an intellectual milieu remains largely in the background, while the main themes in these German novels are not specific of university life: the need for self-realisation and growth, and the sense of powerlessness of an individual before the demands of academic and/or personal expectations.4

In this respect, there seems to be significant critical consensus that the subgenre known as "campus fiction" exists mainly in Britain and the US, beginning with Watson's 1978 statement that satiric university fiction is an Anglo-American creation, largely unknown in continental Europe.5 The explanation for this state of affairs, as I pointed out above, may be sought in the differences in social and

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4 One way in which these German novels relate to the Anglo-American university novel tradition is the fact that they often have as a starting point the removal of the main character to another university as a guest lecturer, usually in the United States. As in the British and American novels that make use of this motif, it is usually this removal that sets off the belief in an alternative setting which by reason of its distance is able to provide escape and inspiration, but again the university remains only the background for a profound experience of personal discovery and change. See, for example, Martin Walser's *Brandung* (Frankfurt am Main: Suhrkamp, 1985) and *Runaway Horse* [*Ein fliehendes Pferd*, 1978], trans. by Leila Vennewitz (London: Secker and Warburg, 1988).

5 Watson, "Fictions of Academe", p. 42. I assume that his claim that campus novels are unknown in continental Europe referred to their not being relevant as a creative practice, rather than their not being known at all.
institutional structures that exist among the different countries, in terms of their university systems. One relevant factor that has been pointed out by Mews, is the generalised absence throughout continental Europe of the Anglo-American notion of “campus” as a self-contained area that is separate from the rest of a community.\(^6\) The traditional European model is a university that is enclosed within the town, and enjoys interaction with it, and so it tends to be outward- instead of inward-looking.

A second factor would be the differences in social attitudes towards universities and those who work in them, in different societies. Bradbury, who also defines campus fiction as a genuinely British and American subgenre, takes this view when accounting for its absence from other European literary systems: according to him, readers in other countries are usually unaccustomed to associating universities with humour.\(^7\) Along the same lines, Richard Sheppard comments on the non-satiric, psychologically-centred brand of German university fiction, pointing out that the German professor has usually been regarded as an agent of cultural development and, by extension, of political and economic achievement; therefore neither the university nor university professors are regarded in Germany as problematic in any way.\(^8\) Satire, or even mild parody, are clearly out of the picture in this case.

As in most of the rest of Europe, the socio-cultural background to the experience of the system of higher education in Spain is very different from what is found in Britain both for students and for professors, for two main reasons. First, Spanish universities are, in the majority of cases, public institutions. The relative accessibility of higher education means large lecture theatres, crowded courses, and minimal personal rapport between lecturers and the majority of students. Personal

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\(^6\) Mews, “The Professor’s Novel”, p. 713. In fact, Mews establishes a link between the lack of a tradition of German campus novels until recently, and the absence of the campus itself in the German university system.

\(^7\) Bradbury, “If Your Books are Funny, Please Tell Me Where”.

\(^8\) Sheppard, “From Narragonia to Elysium”, p. 21.
interest is thus diminished on both parts, and the basic premises of studying at university are established: the lecturer comes into the room, delivers a lecture and leaves again. The students take notes, eventually study them and transcribe them onto blank paper on exam day. Grades will normally not be influenced by class attendance or lack of it. Secondly, most Spanish students live at home during their university education, i.e. they study at their local university. Hence, a Spanish student normally does not go through the experience of living away from home for the first time and becoming independent. In other words, they do not need to “start” a new life at university because they already have a family and social life outside of it. Both these elements, the low personal involvement factor, and continuing to live at home, combine to make the passage through university not a personal landmark for Spanish students, but rather, as it were, an academically-enhanced extension of their time spent in secondary education.

Spanish university professors and lecturers are also much less involved in administration, apart from drawing up their courses and lecturing. They have no admissions to decide or interviewing to do, and no examining boards, as each lecturer provides his/her own examination papers. Because of its character as an education institution, modern Spanish academia takes itself quite seriously in the sense that everything connected with it must be dignified and authoritative. This disposition distances it from both students and society itself, despite its material accessibility. It is interesting thus to observe what sort of writing Spanish university has inspired through the years.

6.1.2 Literary Background

The character of the student is present in Spanish literature since the sixteenth century, but it has appeared sporadically and inconsistently in works of diverse
nature through the centuries. There are a number of texts from early times, when there were few universities in Spain, that include among their characters a young student gentleman. One of the earliest such accounts is narrated by Antonio de Torquemada in his book *Jardín de flores curiosas* (1570). It recounts the preternatural experience of the Bologna student Juan Vázquez de Ayala when he had a ghostly vision of his own burial. Nearly the same is the 1658 story by Cristóbal Lozano, entitled *El estudiante Lisardo*, which was apparently based on a traditional *romance* (a long popular poem) entitled *Lisardo, el estudiante de Córdoba*, widely known among the people, and displaying the same motifs of the funereal procession and the vision of one’s own burial. The same theme was famously taken up in 1840 by José de Espronceda, but the fact that the subject already existed in a previous *romance* in the oral tradition indicates that the figure of the Student may have been recurrent in oral narrative since very early times. Within a different type of seventeenth-century literature we also find a well-known example of the Student in don Diego, Pablos’s young master in Francisco de Quevedo’s *Historia de la vida del Buscón, llamado don Pablos*. An inheritor to the Spanish picaresque novel tradition, Quevedo’s book stresses the element of “learning from life”, however, its focus falls on the servant Pablos’s development and life, and not on his master don Diego, who is the actual student.

In the nineteenth century, the student character was firmly established in Spanish literature with the publication in 1840 of Espronceda’s *El estudiante de Salamanca*. This *estudiante* is really a type of Don Juan, a noble, arrogant, irreverent young man, always on the lookout for challenges and romantic conquests. On a dark night in Salamanca he is haunted by the ghost of his rejected girlfriend,

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10 Publication details not available.
11 Francisco de Quevedo, *Historia de la vida del Buscón, llamado don Pablos* (1620) (Barcelona: Orbis, 1983).
who has died of grief. Borne along by a spectral procession, he finally witnesses his fiancée’s burial, which is transformed into his wedding with the horrid skeleton.

The Student here portrayed, don Félix de Montemar, is the ultimate representation of the recurring gentleman-student archetype. These students, who pay less attention to their studies than they do to romantic adventures, crop up as minor characters in books and stories throughout the nineteenth century, but the publication of two notable novels gave them central roles again. These are Emilia Pardo Bazán’s Pascual López: Autobiografía de un estudiante de medicina, and Alejandro Pérez Lugín’s La casa de la Troya, in both of which the students experience life away from home, and its accompanying freedom, for the first time.13

The student-centred perspective on university life is also found in a variety of twentieth-century literary works. The whole first part of Pío Baroja’s El árbol de la ciencia, for example, narrates the main character’s passage through medical school, emphasising the discontent and mediocrity that he finds there, and how they will influence him for the rest of his life.14 In Carmen Laforet’s Nada, the university is part of the life of the main character Andrea, but it only appears in minimal locative references to courtyards, gates, railings and so on.15 It only functions as a recurrent motif against which to set Andrea’s spiritual longings. A more remarkable novel, from the academic point of view, is Juan Antonio Payno’s El curso, which deals solely with the lives and loves of a group of young people who study at Madrid University during the years of the National-Catholic regime.16 Published in 1962, the novel offers a kaleidoscope variety of student figures from the bookworm to the socialite, with their aspirations, relationships, and academic successes or failures. In

16 Juan Antonio Payno, El curso (Barcelona: Destino, 1962).
the line of *La casa de la Troya*, this is a novel where university life is a major theme, bringing with it insights into social class and differences. The university is here an essential background to the development of the characters, not accidental or unimportant. In a similar way, the university features as a metaphorical universe for the characters in Miguel Espinosa’s *Escuela de mandarines* (1974), a complex work of satiric humour which abounds in cultural references.17

Evidence from these examples suggests that there are few texts concerned with the lives of professors and lecturers. Professors appear in some books, such as José Luis Sampedro’s *Congreso en Estocolmo* (1952), Juan Goytisolo’s *Señas de identidad* (1966) and Gonzalo Torrente Ballester’s *La muerte del decano* (1992).18 Javier Marías’s book *Todas las almas* is an interesting case. Published in 1989, it narrates in semi-autobiographical fashion the romance between a visiting lecturer and the wife of one of his colleagues.19 The story has academic intrigue, romance, humour, and a university town as the background. It could be regarded as a model Spanish version of the British academic novel; however, this assumption is tainted by the fact that, although the main character is a Spanish visiting lecturer, the action takes place in Oxford. The implication is therefore that if one is going to write this sort of purely academic fiction, one does not write about Spain but about Oxford or Cambridge.20

It is possible however to look beyond this apparently alienating premise and observe that in fact the popularity of Javier Marías as a novelist in Spain resulted in

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20 This is a curious paradox that also appears in one of Germany’s better-known instances of the “university novel” subgenre: Martin Walser’s *Brandung* (Frankfurt am Main: Suhrkamp, 1985), which takes place on an American campus on the West Coast.
the successful sales of *Todas las almas*, perhaps further fuelled by Marías’s irreverent stance in the novel towards collegiate life and the petty politics of an Oxford of the dons. Conceivably, as a consequence of its success, Spanish readers may have become more interested in these unfamiliar institutions with their different organisation and traditions, and the people who work and study in them. Or other authors may decide to experiment in that direction, as is the case with Antonio Muñoz Molina’s recent work *Carlota Fainberg*. This novella, according to the author, is a mixture of campus novel (which he, too, considers a typically Anglo-American subgenre), travel writing, and Jamesian mystery tale.

6.1.3 Spanish Reception

The question therefore is, how are the books of a man who writes about British universities received in a country where there is no tradition of writing about universities? The evidence about how a text was received in a target system comes from many different directions. For instance, in her essay on Dutch literature in English, Ria Vanderauwera stresses the importance of those elements pertaining to the epitext of the books: How visible were the books at the target pole? How were they advertised, distributed and reviewed? Were they widely read? How did the readership respond? Publishers are proverbially reluctant to publicise sales figures, so this information is mostly only available second-hand. Even so, there are many sources of information about the visibility of both the texts and the SL author. It is possible to study the book reviews that appeared in the press in order to obtain an idea of what points about the texts have attracted the most attention, and what comments are made. The level of familiarity with an author and his/her œuvre may also be approximated from reviewers’ comments, and from the author’s physical

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presence in events such as conferences, book presentations or talks. Finally, scholarly attention or lack thereof, in terms of study and discussion of the texts, is a pointer towards the status of the texts in the TC.

6.1.3.a Reviews

Press reviews are a primary index of the reception and acceptance of a text in a TC. In Spain, book reviews in the main newspapers are often written by noted cultural or literary critics, whose opinion is likely to carry some weight with the book-reading public. The reviews of Lodge translations that I have obtained were published in the Culture pages of the main dailies *El País* and *ABC*, and they extend from 1992 to 2001. Within that period of time, three Lodge novels were reprinted and five were translated for the first time into Spanish and Catalan, two of these being in turn reprinted later in the same period.  

As a general rule, the reviewers have concentrated on the content of the novels, particularly on plot development and comic tone. None of the reviews comments on the translations or translators aside from mentioning that the books are translations. Unsurprisingly, the subgenre of campus novels is perceived by reviewers as a typically British or Anglo-Saxon subgenre in its own right, with a long-standing tradition. It is significant that in these and other reviews the term “novela de campus” is used, instead of “universitaria” or “académica”, suggesting that the novels that have so far entered the Spanish literary system are mostly those post-1950s ones that are set in campuses, instead of the older Oxford and Cambridge ones. This is confirmed by the frequent mention of Kingsley Amis, David Lodge,

*24* See Table 2 on page 185 and Table 3 on page 187.


and Malcolm Bradbury as paradigmatic authors in the subgenre. Generally, these campus novels are branded as satiric and humorous, and several reviews also mention the critique of the university that is embodied in them in various degrees, whether it touches upon university institutions and traditions or upon the characters of professors or students.

Lodge himself is presented in these reviews as a prominent novelist and literary critic, with some of them stressing his particular interest in the combination of humour and formal experimentation. His campus novels are recognised as part of the subgenre, sharing its characteristics of humour and satire and containing a subtle social and academic critique. Moreover, several reviewers comment on his tendency to interweave literary parodies and other forms of allusion with his story lines, thus affording an extra pleasure to a sharp reader who can detect the references. Lastly, some reviews also pointedly mention his established popularity with Spanish readers.

6.1.3.b Scholarly Research and Teaching

When a literary text receives academic attention in a society, it is generally a sign that it is accepted as central and important according to certain criteria of literary value and interest. In the case of Lodge’s writing, there have been a number of

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31 Ortega, “Si quiere reírse, lea”; Castanedo, “Gratificación doble”.
scholarly articles and essays written on his work, treating it both in isolation, and as part of broader studies on British contemporary fiction. Of particular importance is the work of Fernando Galván Reula and María Aída Díaz Bild, although there are several others. Not surprisingly considering literary and historical evidence, in most of these Spanish articles the campus novel is also presented as a well-established British subgenre of fiction with a high component of humour.

To these articles we might add the several Ph.D. theses that have looked at Lodge’s fiction in recent years, either as a main topic, concentrating on linguistic and stylistic aspects of his writing, or including it as case-study material for their research. It is my assumption that doctoral students’ focus on Lodge is not disconnected from the fact that many of Lodge’s texts, both fiction and criticism, are required or recommended reading at departments of English and Anglo-Germanic Philology in major Spanish universities such as Alicante, Málaga, Vigo, Valencia, Murcia, and Autónoma and Complutense in Madrid. A final token of the relative visibility of Lodge as author in the Spanish literary system is the fact that he has on different occasions been asked to lecture and to present his books at cultural institutions and universities in different Spanish cities. It must be noted, however,

33 Some other scholars who have done research on Lodge’s writing are Pilar Hidalgo Andreu, Socorro Suárez Lafuente, Luis Alberto Lázaro, Eva Samaniego Fernández, Ángeles de la Concha, María Rosa Cabellos Castilla, J.S. Vázquez Fernández, and R. Lorés Sánchez.


36 Data obtained from departmental syllabi for the years 1999, 2000 and 2001 in each university.
that interest in his work seems to be limited to the medium of printed matter, for none of the adaptations of his novels has been shown on Spanish television.

6.1.4 Spanish Readership

The relative popularity of the Lodge campus novels in Spain (including the amount of translating and reprinting, detailed in the next section) is perhaps unexpected for a socio-literary context that differs considerably from the original literary environment. When she alluded to the British reading public, Björk argued that, in Britain, Lodge’s campus novels are recognised as such, and read by people both in and out of academia, people for whom the novels’ intertextual dimension is a bonus, and people who read the books because the stories are interesting and funny.\(^37\) As we saw earlier, Lodge himself is intensely aware of his two-tier readership, and claims to write “layered fiction”. With the translation of the novels into other languages, however, these claims may need revising. In this respect, Leppihalme appropriately notes that, though a writer may assume a hypothetical, reasonably well-informed readership who may be “let in” to the message of the text, while others remain “out”, this assumption is unlikely to be true to the same extent in a transcultural situation with TC receivers.\(^38\)

In the case of the Spanish readership, the notion of a two-level reception of the text is still valid, but it is certain that the proportion of readers that have access to the intertextual layer is diminished.\(^39\) Keen readers of English literature, for example, are potential readers of university novels. Students of English Literature or Philology may start out by reading one for a course, but eventually go on to read the others. University professors must read them in order to assign them for their

\(^{37}\) Björk, *Campus Clowns and the Canon*, pp. 56-60.

\(^{38}\) Leppihalme, *Culture Bumps*, p. 23.

\(^{39}\) In any case, Lodge’s audience in Spain is limited to the book-reading public, since, as mentioned above, none of the TV films or series based on his fiction has been broadcast.
courses, and are possibly quite amused by them, perhaps recognising something of themselves or their colleagues in the academic characters portrayed by Lodge. Literary critics are certainly among the potential readership, and appear to enjoy the novels, expressing positive views of them in their reviews. Academic contexts such as courses and journals are where the novels seem to be primarily discussed, together with Lodge’s work on literary criticism, and hence many of the readers will themselves be somehow linked to the academic world. In relation to this, it appears as if the Spanish reader of a campus novel by Lodge will often approach the text already with a basic knowledge of the otherwise alien culture that he or she is going to encounter, and will be able to recognise at least the most explicit level of literary reference and allusion. This is certainly a reflection of his popularity among Britain’s academics and institutions, but in terms of population, it involves a much smaller, more specific group of people to whom the level of intertextual reference is available. Considering this seemingly restricted reader-group, it appears striking that so many translations and reprints of the novels have been published.

Some responsibility for this success must therefore lie with the second “layer” of Spanish readers, those who are outside of academia and have no specialised knowledge of English literature. They may simply be readers who are generally interested in British literature, culture, and institutions. Undoubtedly, for these readers, as for the British ones, a part of these novels’ appeal is that they portray a different way of life, although of course the difference is much greater in the Spanish context than in the British one. For the Spanish reader it is not only the university context that is foreign, but the broader cultural one too; and even the concept of a fiction that is centred on academia is unfamiliar though it is easily accepted and appreciated, as the series of translations indicates.
Having said that, as Luis Alberto Lázaro correctly notes, there is sufficient cultural proximity between Britain and Spain, in terms of behaviours and values that are typical of Western countries, to guarantee a certain success in understanding the satirical and comic aspects of the events portrayed in the novel, independently of accurate knowledge of culture-specific items, customs or vocabulary. As with British general readers, the surface layer of plot and storyline, humorous characters and events, makes for an enjoyable reading of a comic, well-written novel, for those TC readers who are not familiar with the deeper levels of literary reference. In addition, though readers in this group may not be familiar with the British university system, they entertain the same notions of archetypal academics being serious, earnest and respectable. In this sense, the carnivalesque dimension of Lodge’s campus novels, the parodies of professor figures and of the university institution, are very much alive for the general Spanish reader. With this group of readers being necessarily more numerous, if not more visible, than the academic ones, it would seem that their sustained interest would be a driving force behind the increasing acceptance of David Lodge as an important British author in the Spanish literary system, and behind publishers’ readiness to reprint and translate more and more of his works over and beyond his well-known campus novels. This social acceptance apparently transcends the thematic specificity of his campus fiction, and signals him as a well-known communicator of British culture and society in Spain.

41 It is an interesting phenomenon that Lodge’s novels have also been extremely well-received in other European countries [see Mel Gussow, “Writing About Intelligence: Academic, Artificial, Amorous”, review of Thinks... by David Lodge, The New York Times, 5 July 2001 (p. B3); and Nicholas Wroe, “The Guardian Profile: David Lodge”, The Guardian Saturday Review, 24 February 2001 (pp. 6-7)]. Particularly France and Italy have a great affinity for his work, while in Germany the novels are not only read with enjoyment, but also analysed under a scholarly light. Given that the systems of university organisation in these countries have more similarities with the Spanish than with the British one, and that readers enjoy approximately the same amount of familiarity with the British literary system, we can conjecture that these European readers would respond to the texts much in the same way as the Spanish ones, in terms of grasping the different textual layers, and especially the parody that is intended towards the academic institution itself.
6.2 COMPARING THE TRANSLATIONS

According to Toury, the comparison of a translation with the original text that was its source is a fundamental step towards determining what the norms and strategies are that underlie the translation process.\textsuperscript{42} The basis for this comparison must be established carefully, locating accurately the items which are to be compared and ascertaining their reliability. In the course of this study, the STs that have been used are Penguin paperback editions of previous hardback issues, and are therefore reliable. In the case of the TTs, the several translations that have been available to me are also reliable. Changing Places was translated first in 1977 (Intercambios [IC1]) and then re-translated in 1997 (Intercambios: Historia de dos universidades [IC2]), so I have analysed both translations and compared them to each other as well as to the ST. Sufficient textual evidence has emerged from the comparison to affirm that the 1997 re-translation was most likely produced in side-by-side consultation with the previous translation, as I will show later. The TTs for Small World (El mundo es un pañuelo [MP]) and Nice Work (¡Buen trabajo! [BT]) are the only ones that have been produced, although they have been variously reprinted in the wake of publishing incidents, which will be recounted later. In both cases, I have had access to the later reprinting by Anagrama publishers, and not the first Versal editions. In all cases, I have paid attention to peritextual elements of titles, subtitles, prologues, introductions or footnotes and their translations, considering that they also provide clues as to how the TTs situate themselves with regard to their STs and other texts in their polysystem. I have commented on these points throughout the case study as they became relevant in the comparison of the translations. Nevertheless, the main body of my research in what concerns the target system situation of the TTs focuses on their translation and reprinting histories.

\textsuperscript{42} Toury, "The Nature and Role of Norms in Literary Translation", p. 92.
6.2.1 Different Translations

Aside from the reception markers that are set out above, examining the translation history of Lodge’s campus novels in Spain, as well as the basic facts about each of the translations and their translators, affords preliminary insights into their different features. This is a more editorial strand of research, but it is important to bear in mind that readership and reception are ultimately the overarching concerns, influencing both translational and editorial decisions. As I have already pointed out, in general terms, David Lodge’s work has been successful in Spain. Seven novels and one novella have been translated, four of them into both Spanish and Catalan. The translation of his work on literary criticism seems to have just started with the publication of *The Art of Fiction* both in Spanish and Catalan in 1998. The many translations, re-translations, and the high rate of reprinting, especially in recent years, are witness to sustained publishing and readership interest in his work. For example, a remarkable situation is noted by José María Guelbenzu in his 1996 newsspiece on the Madrid Book Fair in the daily newspaper *El País*, as he comments on the simultaneous appearance of *Terapia* and the paperback reprints of *MP* and *BT*, all of them under the imprint of Anagrama. It must be pointed out, however, that publishers’ interest in Lodge’s work, and therefore their expectations of success, began with the translations of his campus novels.

*CP* was first published in Britain in 1975. Two years later, in 1977, there appeared a Spanish translation of it, with the title *Tu marido y mi mujer*, by the Catalan-born writer Vicente Riera (Table 1). Whether *Tu marido y mi mujer* was commercially a success or not, thirteen years passed before another publisher obtained the copyright in it and issued a reprint of the Riera translation in 1990, with the title *Intercambios* (*ICI*). Only seven years later, in 1997, a new Spanish translation, entitled

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43 Guelbenzu, “Un inmenso abanico de propuestas”.
Intercambios: Historia de dos universidades (IC2), was produced by the Catalan translator Francesc Roca. This is the only version of CP now available in Spanish bookstores. The novel SW underwent a similar process. Six years after its publication in Britain, the book was first translated by the Catalan Esteban Riambau into Spanish as El mundo es un pañuelo (MP) in 1990. This was also the same year that IC1 was reprinted. Riambau’s translation of SW (MP) was itself reprinted in 1996. As for NW, it was first translated by Riambau as ¡Buen trabajo! (BT) in 1989, a year after its publication in Britain, and was reprinted seven years later in 1996.

<table>
<thead>
<tr>
<th>Year</th>
<th>Title</th>
<th>Translator</th>
<th>First Published</th>
<th>Collection and Volume</th>
</tr>
</thead>
<tbody>
<tr>
<td>1975</td>
<td>Changing Places: A Tale of Two Campuses</td>
<td>-</td>
<td>Seeker &amp; Warburg</td>
<td>-</td>
</tr>
<tr>
<td>1977</td>
<td>Tu marido y mi mujer</td>
<td>Vicente Riera</td>
<td>Noguer y Caralt</td>
<td>Weekend</td>
</tr>
<tr>
<td>1984</td>
<td>Small World: An Academic Romance</td>
<td>-</td>
<td>Seeker &amp; Warburg</td>
<td>-</td>
</tr>
<tr>
<td>1988</td>
<td>Nice Work: A Novel</td>
<td>-</td>
<td>Seeker &amp; Warburg</td>
<td>-</td>
</tr>
<tr>
<td>1989</td>
<td>¡Buen trabajo!</td>
<td>Esteban Riambau</td>
<td>Versal</td>
<td>Meridianos</td>
</tr>
<tr>
<td>1990</td>
<td>Intercambios</td>
<td>(reprint) Vicente Riera</td>
<td>Versal</td>
<td>Meridianos</td>
</tr>
<tr>
<td>1990</td>
<td>El mundo es un pañuelo</td>
<td>Esteban Riambau</td>
<td>Versal</td>
<td>Meridianos</td>
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<td>1996</td>
<td>El mundo es un pañuelo</td>
<td>(reprint) Esteban Riambau</td>
<td>Anagrama</td>
<td>Compactos Anagrama (130)</td>
</tr>
<tr>
<td>1996</td>
<td>¡Buen trabajo!</td>
<td>(reprint) Esteban Riambau</td>
<td>Anagrama</td>
<td>Compactos Anagrama (131)</td>
</tr>
<tr>
<td>1997</td>
<td>Intercambios: Historia de dos universidades</td>
<td>Francesc Roca</td>
<td>Anagrama</td>
<td>Panorama de Narrativas (380)</td>
</tr>
</tbody>
</table>

Table 1. Spanish translations of Lodge’s campus novels.

From a distance, an interesting pattern emerges from the apparent chaos of translations and reprints, in the form of two cycles of translational activity. The first Spanish translation of any book by Lodge was Riera’s Tu marido y mi mujer, which

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appeared in 1977 (Table 2). There was then a lapse of twelve years until Versal, a
different publisher, decided to bring out Riambau’s translation of NW (*BT*) in 1989.
In 1990, Versal also published Riambau’s translation of SW (*MP*), and procured the
copyright in Riera’s *Tu marido y mi mujer*, which was reprinted as *Intercambios*
(*ICI*). Then, in 1991, Versal veered away from the campus novel field by bringing
out a translation of Lodge’s second novel *Out of the Shelter* (*Fuera del cascarón,*
translated by Carme Camps), which had originally been published in Britain in
1970. All these novels were included by Versal in the same series, labelled
“Meridianos”. In 1992 Esteban Riambau, the translator for SW and NW, translated
Lodge’s *Paradise News* as the Spanish *Noticias del paraíso*, but this time for
Cátedra, a different publisher. This first cycle of Spanish translations between 1977
and 1992 was complemented with Catalan versions as the years 1990 and 1991 saw
the publication of a Catalan NW (*Bona feina*, translated by Joan Masnou and Fina
Guix) and CP (*Intercanvis*, translated by Joan Masnou), which were published by
Eumo; and in 1995 *Paradise News* was translated into Catalan by Jordi Arbonés as
*Noticies del paradís*, for the publisher Proa.

<table>
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<tr>
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<tr>
<td>1977</td>
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<tr>
<td>1989</td>
<td><em>¡Buen trabajo!</em></td>
<td>Esteban Riambau</td>
<td>Versal</td>
<td>Meridianos</td>
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<tr>
<td></td>
<td><em>Nice Work</em></td>
<td>(reprint)</td>
<td>Versal</td>
<td>Meridianos</td>
</tr>
<tr>
<td>1990</td>
<td><em>Intercambios</em></td>
<td>Vicente Riera</td>
<td>Versal</td>
<td>Meridianos</td>
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<td></td>
<td><em>Changing Places</em></td>
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<td></td>
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<tr>
<td>1990</td>
<td><em>El mundo es un pañuelo</em></td>
<td>Esteban Riambau</td>
<td>Versal</td>
<td>Meridianos</td>
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<tr>
<td></td>
<td><em>Small World</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1990</td>
<td><em>Bona feina</em> (Cat.)</td>
<td>Joan Masnou</td>
<td>Eumo</td>
<td>Narratives</td>
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<tr>
<td></td>
<td><em>Nice Work</em></td>
<td>Fina Guix</td>
<td></td>
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<tr>
<td>1991</td>
<td><em>Fuera del cascarón</em></td>
<td>Carme Camps</td>
<td>Versal</td>
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<td></td>
<td><em>Out of the Shelter</em></td>
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<tr>
<td>1991</td>
<td><em>Intercanvis</em> (Cat.)</td>
<td>Joan Masnou</td>
<td>Eumo</td>
<td>Narratives</td>
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<td></td>
<td><em>Changing Places</em></td>
<td>Fina Guix</td>
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<td>1992</td>
<td><em>Noticias del paraíso</em></td>
<td>Esteban Riambau</td>
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<td><em>Paradise News</em></td>
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<td></td>
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<tr>
<td>1995</td>
<td><em>Noticies del paradís</em> (Cat.)</td>
<td>Jordi Arbonés</td>
<td>Proa</td>
<td>A tot vent</td>
</tr>
</tbody>
</table>

Table 2. First cycle of Spanish/Lodge translations
The second group of translations started in 1996, four years after the publication of Riambau’s Noticias del paraíso (Table 3). This second cycle of publishing activity seems to have been triggered when Anagrama, one of Spain’s most important publishing firms, obtained the copyright in the Lodge translations when Versal went out of business. In 1996 Anagrama reprinted Riambau’s previous translations (MP, BT, and Noticias del paraíso, the last one initially published by Cátedra), as part of the same collection, labelled “Compactos Anagrama” (vols 130, 131 and 137, respectively). In addition, Anagrama also published Francesc Roca’s translation of Therapy (Terapia), though in another collection called “Panorama de Narrativas” (vol. 351). One year later, Roca made a new translation of CP, which was published in “Panorama de Narrativas” with its more complete title Intercambios: Historia de dos universidades (IC2) (vol. 380).

Sometime during this second spate of translations and reprints, interest turned to Lodge’s work on literary criticism, with the 1998 publication of translations of The Art of Fiction into Spanish (El arte de la ficción, translated by Laura Freixas) and Catalan (L’art de la ficció, translated by Montserrat Lunati and Jordi Larios), by two “sister” publishing houses within the same commercial group. Subsequently, in 2000, Carme Camps’s 1991 translation of Out of the Shelter [Fuera del cascarón] was reprinted in the “Compactos Anagrama” collection (vol. 219), and there was a first Spanish translation of Lodge’s 1965 novel The British Museum is Falling Down (La caída del Museo Británico, translated by Josep M. Jaumà), which was included by Anagrama in their collection “Panorama de Narrativas” (vol. 444). Finally, in 2001, Lodge’s 1999 novella Home Truths: A Novella was translated by

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45 Roca’s translation of Therapy was reprinted in 1997 by the Círculo de Lectores, which functions as a book-club for members. As this reprinting does not depend on the commercial strategies of “public” publishing companies or on audience appeal, but rather on the specific sales and marketing decisions of the private book-club, it has not been taken into account in the general publications overview.
Jaime Zulaika as *Trapos sucios*, and included by Anagrama in their “Panorama de Narrativas” collection. It was also translated into Catalan by Albert Torrescasana as *Drapes bruts* for Anagrama/Empúries. Francesc Roca’s translation of *Therapy* was again reprinted, as was the existing translation of the Catalan *Art of Fiction*.

<table>
<thead>
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<td>1996</td>
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<td>Anagrama</td>
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<td>1996</td>
<td><em>Noticias del paraíso</em></td>
<td>(reprint) Esteban Riambau</td>
<td>Anagrama</td>
<td>Compactos Anagrama (137)</td>
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<tr>
<td>1996</td>
<td><em>Terapia</em></td>
<td>Francesc Roca</td>
<td>Anagrama</td>
<td>Panorama de Narrativas (351)</td>
</tr>
<tr>
<td>1997</td>
<td><em>Intercambios: Historia de dos universidades</em></td>
<td>Francesc Roca</td>
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<td>1997</td>
<td><em>Terapia</em></td>
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<td>1998</td>
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<td>Montserrat Lunati</td>
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<td>2000</td>
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<tr>
<td>2000</td>
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<td>Josep M. Jaumà</td>
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<td>Panorama de Narrativas (444)</td>
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<tr>
<td>2001</td>
<td><em>Trapos sucios</em></td>
<td>Jaime Zulaika</td>
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<td><em>Drapes bruts</em> (Cat.)</td>
<td>Albert Torrescasana</td>
<td>Anagrama / Empúries</td>
<td>Anagrama / Empúries (25)</td>
</tr>
<tr>
<td>2001</td>
<td><em>L’art de la ficció</em> (Cat.)</td>
<td>Montserrat Lunati</td>
<td>Empúries</td>
<td>Biblioteca Universal Empúries</td>
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</table>

Table 3. Second cycle of Spanish/Lodge translations.

We can infer from these numerous reprintings and translations that the popularity of Lodge’s novels in Spain has increased with time. The first wave of publications (Versal, 1989-1995) concerns almost exclusively the university novels being translated into Spanish and Catalan (five translations and one reprint), with the further addition of the translated *Out of the Shelter* and *Paradise News* in 1991,
Except for *Out of the Shelter*, Lodge’s fiction prior to his three university novels seems to go unnoticed at this time, but his later writing seems to have appealed to others besides Versal, as is attested by the 1992 Cátedra translation of *Paradise News*, only one year after it had been published in Britain. As Luis Alberto Lázaro remarks, this variety and frequency of publication points to a growing confidence on the part of the publishers that the author is gradually becoming familiar in the target culture, and that his texts will be commercially well-received. This is particularly obvious in the choice for translation in 1991 of one of Lodge’s earliest novels, *Out of the Shelter*, which had been overlooked for over twenty years. It is also noteworthy throughout this period that the lapse of time between the publication of the novels in Britain and their translations is so suddenly shortened. Twelve years passed between the first Spanish translation of *CP* (1977) and the translation of another Lodge novel, which was *NW* in 1989. This one, however, was published just one year after its British publication, and the Catalan version was published in 1990. Similarly, the space between *SW* and its translation is only six years (1984-90).

The second spate of publications is undoubtedly set off by Anagrama’s acquisition of the copyright in the existing Lodge translations, and increased with the Spanish and Catalan versions of *The Art of Fiction*, the only one of Lodge’s critical work to have been translated to date. Between 1996 and 2001, there are six reprints – including *NW* and *SW* – and six new translations, one of which is *CP*. The “waiting period” between a novel’s British publication and its Spanish translation is shortened to only one year in the case of *Therapy* (1995-96), and two in the case of *Home Truths* (1999-2001). What is most interesting in this period is the fact that the Lodge books published in Anagrama have been allocated to two different series.

Oddly enough, there has not been a Catalan translation of *SW*, though both *CP* and *NW* were translated at the beginning of the 1990s.

The reprints of *BT, MP* and *Paradise News* (1996) are almost consecutive volumes in the “Compactos Anagrama” collection, with the reprint of *Out of the Shelter* a late addition in 2000. On the other hand, the translation of *Therapy* (1996), the re-translation of *CP* (1997), and the translations of *The British Museum is Falling Down* (2000) and *Home Truths* (2001) have been included in the “Panorama de Narrativas” collection.

From these facts, it appears likely that the increasing popularity of David Lodge’s work in Spain was set off by a good reception of the academic novels during the early 1990s. It was then that Versal first brought out the three academic novels in one of their collections, and possibly were then encouraged by successful sales to translate and publish the twenty-year-old *Out of the Shelter*, thus moving on from the academic subgenre to Lodge’s more mainstream fiction. Perhaps following on from this diversifying tendency on the part of Versal, the Anagrama publishers have separated the three academic novels in two different collections, and grouped them with other non-academic novels by Lodge. If we understand publishing collections as organising systems, in terms of texts being grouped together under some guiding principle, it is clear that the Anagrama editors have not perceived the three academic novels as a thematic block or a trilogy. This is of some consequence, since if the novels are treated by the editors as dealing with the same subject and belonging to the same subgenre, that perception would contribute to making readers aware of the novels as a group, and possibly to contextualising them as a small sample of a broader tradition. Grouping them diversely with the other non-academic novels in the different collections may to some extent promote their being perceived by the reading public as “general fiction”, without any particular generic affiliation.
6.2.2 Different Translators

It follows from the above account of translations and reprints that the texts that I will be comparing in this study are several and stand in varying relationships to one another. From the starting point of Lodge’s three campus novels, my comparison is based on one translation each of SW and NW, both by Esteban Riambau, and two different translations of CP, by Vicente Riera and Francesc Roca, and separated by twenty years. By using SW and NW, and their respective translations, the relationship between two texts belonging to the same subgenre is revealed, as is the translator’s perceived attitude to that subgenre, and his translation preferences. Comparing the two translations of CP offers a contrastive view of different solutions to translation problems posed by subgenre-related and intertextual features in the texts. Nevertheless, despite this seemingly straightforward set-up, it is important and relevant to note that a finished translation is never the work of a single agent. So many people with different skills and responsibilities are engaged in the different levels of production of a published translation, that it is rarely possible to apportion responsibility perfectly accurately for any part of the version. For practical reasons, I have assumed in the following sections that the translator, whose name appears on the inside cover as a guarantor of the translation, is primarily responsible for what appears in it; nevertheless, it is important to maintain an understanding that this may not always be the case. Bearing this in mind, the term “translator” as I have used it henceforth loosely designates translators, editors, proof-readers and publishers, i.e. any of the agents that intervene in the production of a translation.

The three professionals who have translated Lodge’s academic novels are of Catalan origin and work with Barcelona-based publishing companies, but they translate into Castillian Spanish. Whether their first language is Castillian or Catalan,
all three demonstrate native-speaker competence in the target language.

Nevertheless, their particular idiolects in Castilian show a varying degree of Catalan influence, more so in the case of Esteban Riambau than in that of Vicente Riera and Francesc Roca. Specifically in the case of Riambau, points of usage and grammar arise in his translations of SW (MP) and NW (BT) which are not usual in Castilian Spanish, and which appear to be direct translations of Catalan constructions. An example of this is the constant use of the deictic pronoun “esto” where Castilian speakers would almost invariably use “eso”. The Spanish system of demonstrative pronouns has a three-part division, where the neuter “esto” signals proximity, “eso” signals middle distance, and “aquello” indicates something that is very far away. However, Catalan, like English, has only two forms of the demonstrative pronoun: “això” signals proximity and “allò” indicates distance. Due to this mismatch, in most cases where Spanish speakers would use “eso”, Catalans speaking Spanish tend to use “esto”, the Spanish equivalent of their “això”. This usage of deixis is thus typical of Catalans speaking Spanish. It appears in numerous occasions in both MP and BT.

Ex. 1. “You can’t do that!” (SW: 106)
“¡No puede hacer esto!” (MP: 141)

Ex. 2. “They can’t stand that.” (SW: 186)
“Esto no pueden soportarlo.” (MP: 230)

Ex. 3. “Yes, that’s what I thought.” (NW: 262)
“Sí, esto pensé yo.” (BT: 252)

All these utterances in Spanish would normally use the pronoun “eso”, for instance in “¡No puede hacer eso!”, “Eso pensé yo” and so on. Despite their not being ungrammatical nor impeding understanding, to a language-sensitive Castilian reader the repetition of these phrases all through the text can be both alienating and irritating.
A second pattern that emerges in Riambau’s Spanish is the constant use of the connective “pues” as an expression of cause in many instances in Riambau’s *MP*:

**Ex. 4.** “Won’t he? ‘No, it’s a purely conceptual chair.’” (SW: 163)
“No, pues es una cátedra puramente conceptual.” (*MP*: 209)

**Ex. 5.** “You can’t mistake him, he wears a black glove on one hand” (SW: 196)
“No puede confundirlo, pues lleva un guante negro en una mano” (*MP*: 250)

In the previous examples, the causal connective “pues” has been added by the translator where the ST only separates the clauses with a comma. In Catalan, the particle “doncs” has a more extensive oral usage than the equivalent Spanish “pues”, and is often used, even redundantly. But “pues” in Spanish, very much like the causal “for” in English, has archaising and formal overtones. For this reason, it is usually only seen in written texts of a literary nature, and only rarely used in spoken language, where using “porque”, “puesto que” or “ya que” (because) would be the norm. In Riambau’s translation, having characters use “pues” in everyday conversation causes the text to read as stilted and distant, because Castilian speakers do not readily use it. The immediacy of the characters’ dialogue is lost by the use of this connective, which denotes a clear influence from Catalan.

As to the translators of *CP*, Vicente Riera (1903-1991), who produced the first translation in 1977 (*Tu marido y mi mujer*), was a Catalan novelist who complemented his own writing with ongoing work as a translator, which he began while in exile in Mexico during the early Franco years, and continued once he returned to Spain in 1969.48 In his translation of *CP*, as I will show, he seems to have adopted a generally source-oriented strategy, translating very closely to the

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ST, and sometimes leaving segments of the text in its original English (Ø translation), for instance the name of the television programme “Top of the Pops” (CP: 27, ICI: 32), or “Memorial Day” (CP: 165, ICI: 165). Sometimes he translates expressions literally into Spanish without employing a functional equivalent that would be readily available. So, for example, the expression “Then again [...]” (CP: 13) is translated in ICI as “Entonces de nuevo [...]”, a non-existent construction that does not make sense, instead of the equivalent “Por otro lado”. Or for example, where the characters are referring to the police as “Pigs!” (CP: 190), it has been rendered literally as “¡Los cerdos!” (ICI: 190), which is not a usual term for the police in Spanish. Although this expression does not prevent comprehension because the events and context make it clear, there are numerous slang terms in Spanish that could be used as the translation of “pigs” in this context.

Another characteristic of Riera’s style is that he often translates without altering the word-order of English (syntactic calque), so that the result is Spanish that follows English syntax. He often places the clauses within sentences in exactly the same order as they are found in the ST. Below is one of the many examples:

**Ex. 6.** “Once he sank into the bottomless morass of English manners he would never be able to keep the mythic archetypes, the patterns of iterative imagery, the psychological motifs, clear and radiant in his mind.” (CP: 47)

“En cuanto se hundiera en la ciénaga de las maneras inglesas, ya no podría mantener los arquetipos miticos, los modelos de imaginería repetitiva, los motivos psicológicos, claros y radiantes en su cabeza.” (ICI: 51)

For his part, Francesc Roca, the second translator of CP, has undertaken a more free translation, one that on a linguistic level appears to be more target-oriented. He often substitutes TL material for SL material that could pose comprehension problems for the Spanish reader. So, for instance, “Top of the Pops” (CP: 27)
becomes in his translation “Los cuarenta principales” (IC2: 35), the name of an equivalent radio and television programme in Spain.

A favoured solution for Roca seems to be one of explication and addition of information. For example:

Ex. 7. “right-wing governor of the State, Ronald Duck, a former movie actor” (CP: 14)

“gobernador del estado, hombre de derechas, Ronald Duck, ex-actor de cine” (ICI: 20)

“el gobernador del estado, el derechista Ronald Duck, un ex-actor conocido familiarmente como el ‘pato Ronald’” (IC2: 19, italics added)

In this example, the narrator humorously conflates the figures of Ronald Reagan and Donald Duck. The first name, and the references to Ronald Duck’s previous acting career and identification as governor of the state of California, bring about the association with Ronald Reagan for those readers who remember that he was a film actor before he became a politician, and that in fact he was a two-term governor of California. However, this identification is more difficult for Spanish readers, and Francesc Roca seems to have taken that on board, providing explanatory material which recreates the joke in a different way. Spanish readers can immediately identify ‘pato Ronald’ with ‘pato Donald’ (Donald Duck), so a comic effect is achieved even if no identification takes place. Riera’s literal translation, on the other hand, does not direct the reader towards recognising that a joke is contained within the name “Ronald Duck”, nor towards the identification of the politician.

Another example of Roca’s tendency to add information is found in the expression “Students and street people” (CP: 153), which Riera had translated quite literally as
“Estudiantes y gente del pueblo”, and which has been expanded by Roca into
“Estudiantes y miembros de diversos colectivos que viven al margen de la sociedad establecida” (ICI: 154), thus making the text more colourful; or his translation of
“freshening up the washing up water and stirring the suds with gusto” (CP: 25) as
“tras quitar el tapón del fregadero, había abierto el grifo y agitaba con energía los restos de agua jabonosa para que se marcharan por el desagüe” (IC2: 32). A further example would be the translation of “the Bodleian and the British Museum” (CP: 16), which he has expanded into “la Biblioteca Bodleiana de Oxford y el Museo Británico de Londres” (IC2: 22). He has added helpful information for the reader by situating both buildings in their towns. The location of the British Museum in London might conceivably be known or guessed by the Spanish readers, but the Bodleian could present an identification problem. Roca’s solution prevents any misunderstanding arising on the part of the reader. Further examples of this tendency abound in Roca’s translation.

Generally speaking, in his translation Francesc Roca also uses more colloquial language than Riera does in ICI. For instance, the straightforward sentence “There were, of course, the students” (CP: 27), for which Riera provides a literal translation even with the same word-order (“Estaban, claro, los estudiantes”, ICI: 32), is translated by Roca as “Otro gallo les cantaba, claro esta, a los estudiantes” (IC2: 35). The addition of the expression “otro gallo les cantaba” makes Roca’s translation a colloquial, more target-centred rendering of Lodge’s text. A further example is found in his translation of “Pigs!” (CP: 190), where, in contrast to Riera’s literal “¡Los cerdos!” he has availed himself of the slang term “¡La pasma!” (IC2: 222), which may seem slightly dated to the contemporary Spanish reader, but fits in with the time-frame of the 1960s in which the story develops.
Roca’s Spanish also appears to be less constrained by the English syntax; he treats the order of the clauses and phrases flexibly. In some respects he also seems to have a good grasp of the nuances of English expressions, which he attempts to transfer to his Spanish text. An instance of Roca’s flexible approach to the ST syntax is connected to example 6 above, for which Riera had produced a translation that was syntactically parallel to the ST. In his own translation, Roca has shifted the syntactic units to produce a more fluid sentence structure in Spanish. Hence:

Ex. 8. “Once he sank into the bottomless morass of English manners he would never be able to keep the mythic archetypes, the patterns of iterative imagery, the psychological motifs, clear and radiant in his mind.” (CP: 47)

“En cuanto se hundiera en el tremendo e insondable embrollo de la idiosincrasia inglesa, su mente seria incapaz de mantener con toda claridad y brillantez los arquetipos miticos, las pautas de lenguaje figurado a las que tan a menudo recurría y las argumentaciones psicológicas.” (IC2: 58)

Nevertheless, as the two translations of the novel are compared, it becomes clear that Roca has availed himself of Riera’s prior translation as a tool for his own. This is easily observed in the high proportion of sentences and paragraphs, especially in the first part of his IC2, which are practically word-for-word identical with Riera’s IC1. Certain sentences are identical in their wording. Below are two examples from among several:

Ex. 9. “an unwonted sensation of buoyancy and freedom, a sudden reduction of the effort customarily required by ordinary physical tasks. and it is not just for today, but for six whole months, that it will last.” (CP: 23)

“una insolita sensación de alegría y de libertad, una brusca reducción del esfuerzo habitualmente requerido para los movimientos físicos ordinarios. Y esto no sólo sucederá hoy; sino que durará seis meses completos.” (IC1: 28)
“una insólita sensación de alegría y de libertad, una brusca reducción del esfuerzo habitualmente requerido para los movimientos físicos ordinarios. Y esto no sólo sucederá hoy; sino que durará seis meses completos.” (IC2: 31)

Ex. 10. “The sudden eruption of the Sexual Revolution in the mid-sixties had, it is true, unsettled him a little. The Sunday paper he had taken since first going up to the University, an earnest, closely printed journal bursting with book reviews and excerpts from statesmen’s memoirs” (CP: 26)

“La brusca explosión de la Revolución Sexual, a mediados de los años sesenta, le había intranquilizado un poco, es verdad. El periódico dominical que había leído desde que ingresó en la universidad, un periódico serio, de letra apretada, lleno de reseñas de libros y de extractos de memorias de estadistas” (ICI: 31).

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The probability of the two translators independently arriving at identical translations of such complex sentences as the ones above is very small indeed, and the only explanation would be that Roca was familiar with Riera’s translation and intermittently used it as a basis for his own text. This is further confirmed by the fact that in certain instances, additions, patent errors, or omissions that appear in Riera’s text have not been modified by Roca in his own version:

Ex. 11. “whirlpools of litter and dead leaves” (CP: 28)

“remolinos de hojas muertas, polvo, papeles y toda clase de menudos desperdicios” (IC1: 33)

“remolinos de hojas muertas, polvo, papeles y toda clase de menudos desperdicios” (IC2: 36)

In this example, both translations are exactly the same. This is one of the few cases where Vicente Riera seems to have added material to the source text, and Roca has
transferred it to his translation unchanged. On the other hand, a sentence such as “all very boring and moral” (CP: 97, italics added) is presented in both translations as “todo muy aburrido y normal” (ICI: 100, IC2: 117, italics added), where an explanation would be that Riera had originally misread “moral” as “normal”, and the mistake has been perpetuated in Roca’s translation through his use of the pre-existing one. Similarly, Riera seems to have misread “£165-15-6” (CP: 150), which he translates as “ciento setenta y cinco libras, quince chelines y seis peniques” (ICI: 132, italics added), and which is not corrected by Roca (IC2: 155). An example of omission concerns the segment “Boon steadies her with a firm, two-handed gesture” (CP: 35), which has been omitted from both translations (ICI: 40, IC2: 45).

Wherever Riera’s text patently underlies Roca’s, the latter’s decisions to change it in any way are doubly significant, since they point to a conscious strategy to re-adapt what was previously considered an adequate version. I have already commented that Riera’s translation stays very close to the ST, often following it quite literally on the semantic and syntactic levels. Roca’s overall tendency is towards providing extra information, so in those places in the text where Riera’s influence is visible, but changes have been made by Roca, they are usually motivated by this tendency. Finally, although both translators are also Catalans, there is a much fainter trace of Catalan influence in their Spanish than there was in Riambau’s work. Though there are not many examples, it is mostly visible, again, in their use of “esto” where Castilian Spanish speakers would habitually use “eso”:

Ex. 12. “How can you attribute that [...]?” (CP: 10)
“¿Cómo pueden atribuir esto [...]?” (ICI: 16)
“¿Cómo es posible atribuir esto [...]?” (IC2: 15)
6.3 CHAPTER CONCLUSIONS

In this chapter I have aimed to situate Lodge’s campus novels in the Spanish literary system, considering the context into which they have been transferred, the reception they have encountered, and the type of readers they have attracted. I have also analysed their translation history, and made some general remarks on the identity and features of both translations and translators, as a basis for the textual comparison.

An important result of this phase of research is the description of the socio-cultural and literary contexts into which these novels are transplanted, which are seen to condition the amount of familiarity and knowledge that can be expected of the target readership with regard to the campus novel as a separate subgenre of novels, and with regard to the cultural and literary referents that constitute a major meaning-producing device in the novels. A second attainment of this research stage is the inference of the generally positive reaction and response that seem to have been enjoyed by many of Lodge’s books in Spanish translation, including his campus novels. This estimation is partly based on the analysis and comparison of published book-reviews, and on the documented academic interest on his work in Spanish universities, but it is decidedly supported by the ever-expanding number of new translations and reprints of Lodge novels that continue to appear in Spain. From this evidence, it would not be far-fetched to posit the current existence of a kind of preliminary norm in Spanish book translation that considers Lodge a “translatable”, “sellable” author, thus favouring the translation of more of his books, and with an increasing celerity after they first appear in Britain.

Some specific issues that have been pointed out in this chapter acquire greater importance in the light of translation practice. For one thing, the novels’ potential
for generic intertextuality is compromised by the fact that there is no corresponding Spanish literary tradition of writing about universities – or, indeed, parodying them. Secondly, the novels’ levels of pseudo-generic and specific literary intertextuality are bound to be somehow affected by the mismatch between the literary competence of the original readers which Lodge envisaged and catered for with his “layered fiction”, and that of the Spanish reading public. These two points are addressed by Chapters 7 and 8, respectively. As a separate, but not irrelevant circumstance, it is inevitable that Roca’s use of Riera’s work has had consequences for his own translation, not only in the perpetuation of certain mistakes or oversights – as I have shown above – but also for its style, form, and content.
CHAPTER 7

LODGE’S CAMPUS NOVELS IN SPAIN:
GENERIC INTERTEXTUALITY

7.0 INTRODUCTION

As noted in Chapter 4, the academic novels of David Lodge are located squarely in the centre of the contemporary model of the academic novel, and have in fact become something of a current prototype. This means that, in terms of their genre, they take up a dominant position between two different intertextual axes. Paradigmatically, they are related to the totality of academic novels that exist in the British literary system, sharing some kernel features with all of them. This paradigmatic intertextuality, as I discussed in Chapters 3 and 4, is established through the setting of the story (a main feature of the subgenre according to the definitions by Kramer and others), and the extension of the satiric tone that has been a component of academic novels since Lucky Jim, though in Lodge it takes the form of rather more harmless parody, both of academic institutions and of people working in them. Syntagmatically, by way of actual realisation, Lodge brings numerous other English literary works into intertextual play in his university novels, a quality that distinguishes them within the subgenre but at the same time reinforces their affiliation to it, through obvious textual connections with academic interests. The novels’ syntagmatic intertextuality, which I outlined in Chapter 4, involves literary references of different nature, allusions and quotations.
Given the fact that, in their original conception, both of these components rely on a certain amount of background familiarity in the prospective readership (both with the conventions of the subgenre itself and with the specific texts that are alluded to), their textual function and effect must be compromised by the process of translation into a different socio-cultural context. The translator must therefore decide to what extent the lack of relevant background knowledge in the TC is likely to affect readers’ comprehension and perception of the text in its different levels, and make decisions with the aim of bridging the cultural and literary gaps. And since every textual component is affected to different degrees by the translators’ choices of translating strategies and solutions, the resulting shifts affect the character of the translated text and the readers’ final perception of it at a generic and specific intertextual level.

All of this points out the previously mentioned lack of a genre correspondence between SC and TC literary and referential systems as a major condition in the translation process of Lodge’s campus novels. Indeed, as there is no direct correlation between the constellation of kernel literary features and referents that are found in a campus novel, and features and referents that might fulfil similar functions in any subgroup of Spanish novels, the translator has no clear option of transplanting some of these characteristics into the Spanish context (such as was often done with Golden Age drama between European countries, or indeed with contemporary drama adaptations), or substituting Spanish items for typically British ones, without possibly causing serious disruption to textual qualities and coherence.

Accordingly, it seems feasible that the lack of correspondence between SC and TC literary and referential systems for this subgenre of novel will promote certain translation choices, with the result that the generic characteristics of Lodge’s
campus novels (academic setting, parodic humour, and specific intertextual references) may be more or less severely changed by translator’s decisions. In the first place, the generic markers and their functionality could be largely or altogether deactivated in the text, intentionally or unintentionally. This could happen either because the functional genre markers are ignored as such, and are translated literally in the flow of the text, omitting any extra layers of meaning they may furnish it with, or else because they are inaccurately recreated due to mistranslation or false friends. Alternatively, generic markers might be transferred in such a way in the text that they retain their semantic or functional loads. This would appear to be the least likely option due to the previously mentioned difficulty of mapping TC elements on to SC elements pertaining to this subgenre, especially when these elements are of such highly culture-bound nature as specific literary references, for instance. The translators’ creativity, however, could find ways to overcome such a difficulty. Needless to say, it cannot be expected that translators’ behaviour will be exactly compliant to either of these possibilities; rather, each one’s choice of solutions will vary depending on textual and contextual factors.

Having established these premises, the specifically textual research in Chapters 7 and 8 presents definite examples of how the translators’ behaviour and decisions finally change the TT. As Theo Hermans emphasises, a translator’s choices “highlight the exclusions, the paths that were open but were not chosen”, as well as illuminating the interrelationships of socially dictated norms or expectations, and his/her personal preferences or agenda in relation to the translation.¹ The individual translator’s choice for a particular option in the context of a limited range of realistically – from the target system point of view – available alternatives, allows for the use of the concepts of norms and conventions as a way of asking questions

¹ Hermans, “Translation and Normativity”, p. 52.
not only about what is there on the page, but also about what might have been there but is not, for one reason or another. Comparing different translations offers the opportunity to set off significant instances of differing translation solutions against each other, so as to see in which cases generic and intertextual features are upheld or weakened by the translators’ choices. In terms of the process of translation, evidence of certain strategies, conveyed in the consistent employment of certain translation solutions and their effects, will produce clues as to possible translation norms in the current Spanish literary system.

As I argued earlier, one of the inherent difficulties of working retrospectively from the standpoint of the translational end-product is the accurate identification of translation solutions, which is sometimes hindered by ambiguity and their combinatory potential. For this reason, in the work that I present in Chapters 7 and 8, I cannot presume to claim that my identification of translation procedures is the only possible one. Whenever I have detected some ambiguity, I have provided alternative options, both in terms of determining the solution and of accounting for the translator’s motivation in employing it. Even if possible alternatives are discussed, no absolute judgement is issued on the value of a solution or a strategy in relation to others.

7.1 UNIVERSITY SETTINGS AND ORGANISATION

In translation, problems often arise not only from the specific generic qualities of the ST, but from the lack of concepts in the TC that will “adequately” translate certain ST items. This is the case with British campus novels where both setting and characters introduce a series of concepts such as locales, hierarchies, and traditions that have no correspondence in the Spanish university system. The translator must then decide whether to lean towards retaining the references to British university
life by employing literalist solutions such as $\emptyset$-translation or literal translation, or towards clarifying it for the Spanish reader by way of solutions such as substitution or explication. As always, the translator’s choice of strategy ought to be guided by the role these cultural references play in constructing the text’s meaning. Nevertheless, as I will try to show in the following paragraphs, differences in the approach to these university-related referents are conspicuous between the different translations of the Lodge novels, as are inconsistencies, sometimes within the work of a single translator.

On the surface level, the setting of Lodge’s academic novels might be expected to cause only minor problems for translation, since the basic definition of a university as a higher institution of learning and research is valid in Spain as it is in Britain. On a deeper socio-cultural level, however, substantial connotations are attached in Britain to such names as Oxford and Cambridge, especially when mentioned alongside or in contrast to new or redbrick universities. In Spain, Oxford and Cambridge are well-known for tradition and excellence, and, as in Britain, they are endowed with an aura of superiority, but there is no relative judgement involved because the Spanish reader is not normally familiar with any other British universities aside from these famous ones.

In this respect, the word “Oxbridge” presents translation problems in NW (NW: 42-46). Riambau, the translator, offers no indication at any point that this is a “portmanteau” word used to refer to Oxford and Cambridge as completely separate from any other British institution of higher education due to their superior status and tradition. Instead, the term is treated as if there were indeed one single institution called Oxbridge. In this text, this form of $\emptyset$ translation (BT: 41-44) deprives the reader of important information concerning Robyn Penrose’s opinions
and ideology. For example, it is made obvious in the English text that Robyn declines Oxbridge for her first degree because she does not care for the reactionary atmosphere (despite academic excellence, we are given to understand), and she goes to Sussex University instead. The Spanish reader, prevented from identifying Oxford and Cambridge, sees Robyn simply making a choice of one university over another. At a later stage in Robyn’s career, she is again advised to go to “Oxbridge” in order to carry out serious research. This time, she appears to take heed and then proceeds to go to Cambridge, leaving the Spanish reader to wonder why she has acted against the advice she had already accepted.

As I just mentioned, the name or concept of a redbrick university is not likely to provoke any response from a Spanish reader, nor to immediately call up an inherent opposition to the Oxbridge model of higher education. In order to cope with the socio-cultural gap of this opposition, all three Lodge translators have opted for explication solutions. In the translation of CP, both Riera and Roca’s explicatory solutions hinge the “Redbrick versus Other” issue on the chronology of the foundation of the universities themselves, using this as the main point of difference between them. This is the case in the translation of “English universities of its type (civic redbrick)” (CP: 14), as “universidades inglesas de su tipo (de reciente fundación)” (ICI: 20), and “universidades inglesas [...] de fundación relativamente reciente” (IC2: 20). On the other hand, a particularly felicitous translation is provided by Esteban Riambau in MP for “Renaissance of the redbrick university” (SW: 236), which he renders as “renacimiento de la universidad de nuevo cuño” (MP: 297, italics added). The “redbrick” synecdoche gives way here to a broader expression that implies chronological difference but also connotes some sort of innovative approach or philosophy.

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2 Also to be noted in this example is how Riera maintains the structure of the ST with the explanatory adjectival phrase in parentheses, whereas Roca modifies it.
The setting of literary plots in British universities entails certain organisational structures in terms of staff hierarchies, programmes of study, and grading schemes, which for the most part have some form of equivalent in the Spanish university system. With reference to staff organisation and structures, the outcome of the translator’s work will clearly have a bearing on characterisation and on the basic set-up for the plot. In *CP* especially, the issue of academic posts and hierarchies comes up again and again as the university structures of Britain and the United States are compared. Furthermore, this issue becomes an identity marker for the two main characters on their transatlantic exchange simply because both of them begin their experience abroad with a contingent change in their job title which forces them to alter their way of working and of thinking about work. Hence, misrepresentations in the field of academic hierarchies and responsibilities may lead to culture bumps for the reader, or to incongruence between a character and his/her actions.

Precise examples of this are revealed in the Spanish Lodge translations by the treatment of terms such as “lecturer” and “professor”, for which there exist equivalents within the Spanish academic teaching structure that have not always been employed. In fact, Riera is persistent in “translating down” these posts, demoting them within the academic scale. For example, in *CP*, he has translated “give a Senior Lectureship” (*CP*: 25) as “dar un puesto de profesor adjunto del último curso” (*ICI*: 30). This translation of “Lectureship” can effectively be regarded as a mistranslation, since on a referential level a “Lectureship” corresponds more closely to a Spanish “titularidad”, which would entail the kind of teaching and supervision that Philip Swallow does at Rummidge. From another angle, Riera seems to have arrived at his translation of “Senior Lectureship” by separating the two components and tackling each of them quite literally. This is
evident in the way “Senior” has been taken to be a kind of circumstantial modifier to “Lectureship”, perhaps induced by an awareness that final-year students in US universities are called “Seniors”. In this way, Riera appears to believe that a senior lectureship involves teaching finalists. As an alternative to Riera’s downplaying of the job title, Roca’s treatment of the same expression resorts to a degree of explication embedded in the text. In his translation “ascender a profesor agregado” (IC2: 33), the addition of the verb “ascender” reinforces somewhat the advantageous status of Philip’s newly acquired academic post, although his translation “profesor agregado” is also of lower status in Spanish than “lecturer”.

In the case of the term “professor”, again Riera’s literal translation or calque causes the misrepresentation of the characters’ status, as he overlooks the pertinent Spanish job title “catedrático” and simply translates “profesor”. Roca, on the other hand, opts for straight substitution of the equivalent terms and uses “catedrático”. As I observed earlier, the opposition between the titles of professor and lecturer is very fruitful in CP, and plays a part in defining the characters in their new environment, and against their old one. So, for instance, it is a perk of the exchange for Philip Swallow to be automatically promoted from his rank of lecturer to professor once he arrives at the American university where he is to teach for one year. Thus, he is understandably pleased when he is addressed as “Visiting Professor” (CP: 13). Riera’s translation resorts to the literal translation “profesor visitante” (IC1: 19) whereas Roca effects the adequate substitution of “catedrático” (IC2: 19). Obviously, Riera’s translation fails to illustrate the change of status as advantageous to Philip. The same example emerges several times throughout both translations (CP: 21, IC1: 27, IC2: 29), and also where Lodge’s “full professor” (CP: 15) is rendered by Riera as “profesor titular” (IC1: 21), and by Roca as “catedrático” (IC2:
21), but particularly in one instance, it creates a much more immediate problem for
the translator than simple obscurity. In CP we find the following dialogue:

Ex. 13. Morris Zapp: “Is Professor Masters around?”
Secretary: “No, he’s in Hungary [...]”
Z: “What about the other professors?”
S: “There’s only the one.”
Z: “I mean the other teachers.”
S: “It’s the vacation.” (CP: 62)

Zapp: “¿Está por aquí el profesor Masters?”
Secretary: “No, está en Hungría [...]”
Z: “¿Y los demás profesores?”
S: “Estamos de va-ca-ciones.” (IC1: 65)

Zapp: “¿Está por aquí el catedrático Masters?”
Secretary: “No, está en Hungría [...]”
Z: “¿Y los demás profesores?”
S: “Estamos de va-ca-cio-nes.” (IC2: 75)

Riera’s first decision to translate “professor” as “profesor” has a bearing on the
second section of the conversation, since in the ST Zapp’s next question, and the
secretary’s answer, furnish the reader with the important character-building
information that, out of all the staff at Rummidge English department, only Masters
is a professor. In the ST, Zapp is then forced to clarify his question: “I mean the
other teachers”. With Riera’s translation, this exchange creates a problem because
his question “¿Y los demás profesores?” does not distinguish between Masters and
the rest. Riera has therefore omitted the next two lines of the dialogue, so that the
secretary simply answers his question with “Estamos de va-ca-ciones”. On the other
hand, since Roca’s translation does contain the contrasting terms “catedrático” and
“profesores”, the characters’ misunderstanding, and the information that Masters is
the only professor, could have been reinstated into the translated text. Nevertheless,
it is also omitted from his text, perhaps as a result of Roca’s using Riera’s text as a basis, as I argued in Chapter 6.

It is evident from the above examples that whenever semantic and functional correspondences may be established between elements of both SC and TC, it is more efficient to use substitution as a solution than to limit oneself to a literal semantic translation of terms or calque, which entails a risk of false friends and mistranslation. As a last example, in CP, the successful scholar Morris Zapp contemplates a “College President’s job” as his next career move (CP: 44). This is translated by Riera as “director de colegio” (ICI: 48), whereas Roca substitutes the institutional equivalent “rector de Universidad” (IC2: 55). Roca’s translation is consistent from the point of view of character, text, and reader, whilst Riera’s makes a clear reference to primary and secondary school masters, and not to university environments. His translation clearly fails to cohere with the character and aspirations of Morris Zapp.

Given the differences between the educational systems of Britain and Spain, another cultural area of academic novels that poses problems for translation is that of the grading systems and sequencing of higher degrees. This area may cause a number of culture bumps for the Spanish reader, though on the other hand s/he may easily accept the unfamiliarity precisely because the setting is a foreign university. From this point of view, it would not be essential for passing references to British degrees, or postgraduate degrees, to be thoroughly interpreted for the reader. Nevertheless, as with the field of academic status, such culturally-specific elements related to academic organisation often fulfil a characterising function or are deeply intertwined with plot developments in Lodge’s campus novels. The onus is then on
the translator to provide as much denotative and connotative information as will allow the reader to read the text coherently.

A good example of this is the ranking of degrees as “Firsts”, “Seconds”, and “Thirds”, unknown in Spain where a university degree has no such distinctions. In NW, this distinction constitutes a basis of comparison between the intellectual skills of Robyn Penrose and her boyfriend Charles, and the fact that Robyn achieved a “First” and Charles “an extremely high Upper Second” (NW: 45) also becomes a metonymy for the power dynamics of their relationship. Riambau’s literal translations of “primer grado” and “un extremadamente alto segundo plus” (BT: 44) in this case fail to provide the Spanish reader with enough information to really understand why Charles’s “alto segundo plus” was very close to, but not as good as, Robyn’s “primer grado”, and therefore why Robyn has always unquestionably occupied the position of “Victrix Ludorum” in their relationship (NW: 47). Faced with translating similar cultural elements in CP, a student’s “low Upper-Second” (CP: 36) is translated literally by Riera as “segunda clase superior” (ICI: 41), while Roca chooses substitution, translating “un notable” (IC2: 46). The student in question is a polemical one in the department, and it is stated in the text that this mark proved unsatisfactory both to his supporters and his detractors within the faculty. In Riera’s translation, the reader cannot easily understand what a “segunda clase superior” degree might be, and why it should be at all unsatisfactory. Roca, on the other hand, substitutes a Spanish grading equivalent which is neither a high mark nor a low one, and thus might cause that same dissatisfaction.

More may be said, however, about the order in which higher degrees are achieved in Britain, and how there is a mismatch between educational systems that affects their translation into Spanish. As a consequence of this asymmetry, some
characters’ academic trajectories become garbled and difficult to follow, which in turn affects the perceived legitimacy of their position within the academic universe of the text, and their interaction with other characters. In both CP and SW, the principal change affecting these cultural elements takes the form of assimilation of a British or American academic level to a lower Spanish one. So for example:

**Ex. 14.** “BA at Galway” (SW: 14)  
“bachillerato” (MP: 33)  

**Ex. 15.** “graduate work” (SW: 14)  
“carrera” (MP: 33)  

**Ex. 16.** “my MA” (SW: 63)  
“mi Licenciatura” (MP: 90)  

In all cases, Esteban Riambau has demoted the level of the degree by substituting the Spanish one that is next lowest in the system (“BA” to “bachillerato”, “graduate work” to “carrera”, and “MA” to “Licenciatura”). In fact, the notion of postgraduate education and Master degrees seems to create problems for all translators in the different novels, for example in CP:

**Ex. 17.** “a Master’s course” (CP: 218)  
“curso de licenciatura” (IC1: 218)  
“tesina” (IC2: 255)  

**Ex. 18.** “MA thesis” (CP: 18)  
“tesis de licenciado” (IC1: 24)  
“tesis” (IC2: 25)  

While it is true that Master’s degrees are not yet common in Spain as independent, self-contained tertiary degrees, postgraduate education exists in the form of Ph.D. research in which a student embarks directly after their first degree. At the time of Riera’s translation in 1977, the concept of a Master’s degree did not exist in Spanish universities, and it was probably not known to exist as such anywhere else,
which goes a long way in explaining his resorting to the more common form of university degree. Nowadays, however, Master’s degrees – often obtained at a foreign university – are familiar even though not a part of the Spanish university system, so possibly in Roca’s translation a prevalent translation like the existing term “máster” could be used instead of glossing over the whole concept of graduate education. In terms of their textual effect, the inaccurate use of these substitutions can modify the reader’s perception of characters. Both of Riera’s translations in the examples above (“curso de licenciatura” and “tesis de licenciado”) show Philip Swallow and Persse McGarrigle as in fact having less of an education than they have in the original novel, since neither of them is in the US as having any sort of postgraduate degree. At the other extreme, an unmodified substitution such as Roca’s “tesis” in example 18 also affects the meaning of the text, since for the Spanish reader it inevitably brings about an association with doctoral work that does not correspond to the professional career of Philip Swallow, who, as the American academics are dismayed to find, does not have a Ph.D.

A poignant example of how the translation of culture-specific items relating to academic organisation can affect characterisation is found in NW. Throughout this novel, the word “term”, referring to each teaching period of the university year lasting about ten weeks, is consistently translated by Riambau as “curso”, which in Spanish denotes a whole year of studies. This inaccurate translation in passing would not normally cause serious problems of text coherence or comprehension for the reader. In the context of NW, however, and particularly in the section where Robyn Penrose’s biography is being narrated, it succeeds in giving a misleading impression of Robyn’s morality and values. The English text recounts how when Robyn went to University she lost her virginity in her first term, was recklessly promiscuous in her second, and settled down into a steady, long-term relationship
with Charles in the third term of her first year. The text continues to explain how in
their second year Robyn and Charles rented a flat and lived together as a married
couple (NW: 42) until the end of their three years of studies. When the beginning of
this section is translated into Spanish using “curso” to translate “term”, Robyn
appears to have lost her virginity in her first year, been recklessly promiscuous in
her second, and settled down with Charles in her third year (BT: 41). The timescale
is therefore seriously compromised when the text goes on to explain that Robyn and
Charles moved in together in their second year and lived as a married couple. For
the Spanish reader, this is the time when Robyn was being promiscuous, which
presents her morality under a very bad light, and undermines the legitimacy of the
righteous stance she takes in many issues in the novel. The same inaccurate
translation reappears when Robyn is looking for a job and, to her desperation, can
only manage to find work substituting for a teacher for one term (NW: 51). The
Spanish translation has her working for a whole “curso”, or year, so that her
tremendous worry about work and money becomes puzzling and appears too
extreme for her situation (BT: 49).

7.2 UNIVERSITY LIFE: PARODIES OF ACADEMIA

As I argued in Chapter 4, an important feature of David Lodge’s academic novels is
the continuation of the university-directed critique that has pervaded the subgenre
so thoroughly from the publication of Lucky Jim. In a more amiable tone than others
like C.P. Snow and Malcolm Bradbury, Lodge’s comic parody aims to shake the
belief that university traditions and university dons are inevitably the vehicles of
what Matthew Arnold described as “the best that has been thought and said”.3 The
key to his critique is humour, but the persons and institutions who are the recipients
of such critique must be familiar enough to the reader, so as to establish a necessary

3 Matthew Arnold, “Culture and Anarchy”[1869], in Culture and Anarchy: Matthew Arnold, ed. by
space between reality and fiction where ridicule is created. The same holds true for
the reader of the translation, although because of the cultural distance between the
texts, the relationship between reality and fiction must be more precisely spelled out
for the parodic criticism to function.

If Lodge is bent on making figures of fun out of the academic characters in his
novels, his three-ring circus is certainly the world-wide network of academic
events, where scholar characters meet and meet again, respecting or disliking each
other, interacting and reacting as they entangle fiction and reality. The international
conference is thus a privileged environment for the scholar, where his/her
intellectual, social and personal skills (and shortcomings) are heightened by close
contact with like-minded peers. In Lodge’s academic conferences, pretentiousness
is everywhere, and even the seminars and events attended by the scholars receive
long, grand-sounding titles, capitalised to the last word, particularly in SW. There
we have, among other examples, a “Reception Sponsored by the American
Association of Professors of Yiddish” (SW: 314), and a “Cash Bar Arranged in
Conjunction with the Special Session on Methodological Problems in Monolingual
and Bilingual Lexicography” (SW: 315). Riambau translates them literally, but
effects a partial omission by missing out the capitalisation element: “recepción
patrocinada por la Asociación Americana de Profesores de Yiddish” (MP: 391), and
“barra de bar montada en conjunció n con la sesión especial sobre Problemas
Metodológicos en Lexicografía Monolingü e y Bilingü e” (MP: 391). These literal
translations where the titles of seminars and notices are not capitalised, dampen the
effect of pompous self-aggrandisation that pervades the conference atmosphere.

Paradoxically, Riambau has in this and other sections chosen to employ Ø
translation for several of the names of the organising bodies at the conferences. The
"Byron Society" (SW: 315) remains "Byron Society" (MP: 391), the "G.K. Chesterton Society" (SW: 315) remains "G.K. Chesterton Society" (MP: 391), and the "Early English Text Society" (SW: 150) remains the same (MP: 194). Equally, the "Modern Language Association of America" (SW: 313) maintains its English name in the Spanish text (MP: 389). These names fulfil a function in the text which is as much to present the scope of the knowledge that is traded at these conferences as to hint at the possible life myopia of the fictional characters who dedicate their lives to this type of "dry" research. Their purely referential semantic meaning is the essential first step to activating all their connotations in the reader's mind, and thus the solution of Ø translation, which hinders the reader's participation, does not seem the most appropriate. On the other hand, it is of course arguable that the Spanish words for "society", "Modern", "Language", "Text" and "Association" are similar enough to the words in the ST that their meaning can be understood from the Ø translation. Furthermore, in the case of the "Modern Language Association of America", retaining the phrase in English at different points throughout SW, by use of Ø translation, permits the Spanish translator to also maintain "MLA" as its abbreviation in the rest of the text, where it appears often. The continuity between abbreviation and expanded phrase is maintained through alternative use of both, without recourse to further explanation. Nevertheless, the accumulation of many foreign-language phrases within the translation can distance the Spanish reader, who may assume they are unimportant, or not intended for deeper scrutiny.

Another specific point of parody in Lodge's novels is the utter superficiality of the social interaction of his fictional scholars, brought to its maximum expression in the enforced conviviality that they experience when attending academic conferences. Particularly telling examples of this are found in SW, since its narrative is centrally concerned with the world of academic conferences. For example:
Ex. 19. “Let’s have a drink, let’s have dinner, let’s have breakfast together” (SW: 233)
“tomemos una copa, cenemos juntos, desayunemos los dos” (MP: 294)

Ex. 20. “let’s have a drink some time, let’s have dinner, let’s have breakfast” (SW: 315)
“cualquier momento hemos de tomar una copa, hemos de almorzar juntos, hemos de desayunar” (MP: 392)

In the ST, the devices of repetition and parallelism reflect how repetitive and hollow these social relationships are. The main sentence element for both examples is “let’s have” + Object, with only the addition of “together” in example 19 and “some time” in example 20. The Spanish translations, however, break up the parallelism of the English sentences by adding some extra elements (“los dos” in example 19 and “juntos” in example 20). As a result of this explication solution, and the more complex verb construction employed in example 20, the sentences become more rambling, and they lose the formulaic character they acquired in the ST.

Pompous, conceited, and self-involved, Lodge’s academics are often portrayed as being unable to maintain significant social relationships that are not based on scholarly interaction. They are to a great extent defined by who they are academically, a circumstance that also dictates the sphere and reach of their actions. The Ivory Tower of academia constrains and conditions them even when they are out in the practical and prosaic real world. In fact, much of their experience of the real world is filtered through the lenses of their intellectual activity, which in Lodge’s novels means specific mindsets and discourses related to English literature, linguistics, and literary criticism. By having his academics lapsing directly or indirectly into such discourses in their everyday lives, Lodge stresses the intimate link between his characters and their profession, hinting at their inability to separate their jobs from their lives, and therefore their one-dimensionality and real-life
inadequacy. In this way, this type of Bakhtinian stylisation, which is embedded within the narrative, is used to further characterise his main actants. Its function is to reflect the way in which characters speak, think, and view the world around them, either through their actual utterances in the dialogue or through the focalisation of scenes and events. To this end, Lodge reproduces several different specific discourses in CP, SW and NW, so that a paragraph written in plain English is followed by one using the vocabulary and jargon of an academic field, or a technical one, which tends to stand out from the surrounding text. It is a key matter in these conditions that the translator recognise and recreate the specific discourse in a way that the TT reader will be able to relate both to the character and to his/her particular field of knowledge.

Of particular importance for this dimension of the text is the feature of “double reception” that Lodge envisages for his fiction: that of the general reader and that of the reader in-the-know. When faced with complex academic utterances which eminently point to a set of discourses and practices which go beyond the particular novel s/he is reading, the general reader is more likely to home in on the parodic use of an outlandish jargon that points the character out as either a self-important pedant or incapable of communicating in any other register. The reader in-the-know, on the other hand, can in addition identify the discourses as belonging to one or another academic school or tendency, and understands the implications of this in relation to other characters and events of the story. This possibility can be seriously curtailed in translation, as for example in NW, where Esteban Riambau omits a part of a sentence where several literary theories are brought into comparison:
Ex. 21. “or whether Lacan’s psychoanalytic theory is phallogocentric, or whether Foucault’s theory of episteme is reconcilable with dialectical materialism” (NW: 217, italics added)

“o si la teoría psicoanalítica de Lacan es falocéntrica con el materialismo dialéctico” (BT: 210)

In this example, the italicised fragment is omitted. Whether this Ø translation responds to a conscious decision on the part of the translator, or merely to an oversight, the resulting sentence does not make sense from the point of view of literary theory. The specialised reader is puzzled by the incongruous relationship that is established between very different theoretical tendencies, and is forced to review his/her judgement of the intellectual interests and criteria of Charles and Robyn. Since the sentence is grammatically correct Spanish, the general readership may be less affected by the resulting change, if only because the perlocutionary effect of the sentence in terms of characterisation is fulfilled anyway.

On some other occasions, perhaps due to unfamiliarity, the translator has missed the theoretical dimension that is contained in an expression and ignored it altogether, with equally negative consequences. This is the case with the term “pathetic fallacy” (in Spanish “falacia patética”), a term invented by John Ruskin to refer to the romantic tendency to endow Nature with human emotions in order to induce emotional responses in the reader. The phrase “real pathetic fallacy weather” (CP: 83), with which a character complains about the rainy weather, has been translated by Riera as “la patética falacia del tiempo” (IC1: 85), and by Roca as “el clima, cuya intrínseca falsedad le parecía realmente patética” (IC2: 100). In this case, Roca’s translation ignores the allusion to a more or less well-known literary device and transforms the sentence to an extent, preventing the reader from recognising a literary term and ascribing its use to the character’s literarily-skewed world-view.
On most other occasions of marked discourse stylisation, the translators of the Lodge novels have opted for what were originally most likely literal translations of the key words of certain critical discourses, and have now become the prevalent and accepted translations for them. So for instance, the Marxist discourse that the critic Fulvia Morgana uses in SW to explain both her literary views and her own lifestyle is rendered by Riambau in a translation that is both literal and prevalent, by using the terms that are used in Spanish for the concepts and arguments of Marxist theory:

**Ex. 22.** “I recognise the contradictions in our way of life, but those are the very contradictions characteristic of the last phase of bourgeois capitalism, which will eventually cause it to collapse.” (SW: 128)

“reconozco las contradicciones en nuestra forma de vida, pero son precisamente las contradicciones características de la última fase del capitalismo burgués, que finalmente causarán su derrumamiento.” (MP: 168)

**Ex. 23.** “in terms of dialectical materialism, it makes no difference to the istorical process whether Ernesto and I, as individuals, are rich or poor” (SW: 128)

“en términos de materialismo dialéctico no causa diferencia en el proceso histórico el hecho de que Ernesto y yo, como individuos, seamos ricos o pobres” (MP: 168)

With this kind of translation, the reference to Marxist critical discourse remains alive for Spanish readers who are able to recognise its key concepts and terms in the TT, and to appreciate their characterising effect in this fragment. The same solution of using terms that are both literal and prevalent appears in the translation of several other fragments of critical and academic discourse, from the use of the language of computational and systemic stylistics (SW: 154, MP: 199; SW: 183, MP: 235), to the presentation of several discourses of different schools of literary criticism that are deployed together during one of the sessions of the MLA conference as five academics of different backgrounds assess the question of the future of criticism.
from a humanistic, a narratological, a reader-response, a Marxist, and a deconstructionist viewpoint (SW: 317, MP: 394).

In this context, it is worthwhile to consider the translation of the speech of Michel Tardieu, one of the main characters of SW. His everyday discourse is full of the elements of narratology, which he applies even to other characters’ actions:

**Ex. 24.** “It is a quest, cheri, a story of departure and return: you venture out, and you come back, loaded with treasure. You are a hero.” (SW: 112)

“Es una búsqueda, cheri, una historia de partida y regreso: tú te aventuras en el exterior y después regresas, cargado de tesoros. Eres un héroe.” (MP: 148)

**Ex. 25.** “If one is not a subject or an object, one must be a helper or an opponent. You I help. Professor Zapp I oppose.” (SW: 266)

“Si uno no es un sujeto ni un objeto, debe de ser una ayuda o un oponente. A usted le ayudo. Al profesor Zapp, me opongo.” (MP: 333)

**Ex. 26.** “On the plane he meets another Helper, a beautiful Korean girl in the adjacent seat [...].” (SW: 297)

“En el avión conoce a otra buena compañía, una hermosa muchacha coreana que ocupa el asiento contiguo[...]” (MP: 370)

These examples abound in references to the narratological labelling of characters in a story according to their function in relation to the central Hero. The terms employed by Riambau in his translation (“héroe”, “ayuda”, “oponente”), correspond to those employed in the French structuralist school of narratology and in English-language literary criticism. As concepts, they originate in Vladimir Propp’s study of the structure of the folktale, and the terms were originally imported into Spanish as a literal translation from French, but they have since then become prevalent in Spanish literary theory, and presumably that is why Riambau employs them. On the part of the translator, overlooking the function of these references may deprive
readers of important information and even keys to understanding subsequent events. This is visible in example 26 above, where Persse is said to encounter “another Helper”. Indeed, the Helper is none other than Song-Mi Lee, the female companion of the novel’s King Arthur figure, who provides Persse with necessary information about the conference that he is going to, and thus metaphorically aids him in his advancement towards the goal of his quest and his final restoration of the King and kingdom. Riambau’s translation of “otra buena compañía” does not recall the narratological figure of “una ayuda” that was present in his translation of previous passages (example 25). In this way, his translation loses coherence, eliminating the reference to narratological theory, which served to reinforce the identification of certain characters – and the purpose of their actions – with the archetypal categories of narratology. As a result, the connection of the novel’s two layers is severed.

7.3 CHAPTER CONCLUSIONS

In the campus novels under examination, the accumulation of certain types of translation solutions, with reference to the features of setting and parodic tone, has an effect on the overall character of the text, and on its prospective reception by readers. As far as the university setting is concerned, differences between the Spanish and the British systems of higher education create referential gaps between the ST and the TT. As the examples above illustrate, in reference to the setting of the stories, whenever a target-oriented strategy has been employed, for example by use of explicative solutions, the cultural gap is narrowed, and the reader obtains necessary information for understanding, for instance, the basic differences between redbrick universities and Oxford and Cambridge, which are paradigmatically significant in terms of placing Lodge’s campus novels in relation to the academic novel subgenre. This understanding, as we saw on page 205 above, can be on the
other hand impeded by source-oriented, Ø translation solutions such as Riambau provided for the term “Oxbridge”.

The field of the organisation of universities, of their staff and students, presents further cultural obstacles for translators. We have seen that their two most common solutions are literal translation and substitution. Unfortunately, literal translation or calque too often brings about confusion due to the existence of “false friends”, as with the examples on pages 208 to 210 above, and can considerably affect readers’ perception of characters and events. With a substitutive, target-reader-oriented solution, the same examples will generally remain coherent with the rest of the text, compromising neither plot nor character development. However, if the substitution is inaccurate or inadequate, the positive clarifying effect it may have on the reader is severely threatened, as in examples 14-18 above, where characters’ qualifications are mixed up, and text coherence therefore wobbles. In this vein, Riambau’s translation of “term” as “curso”, although possibly not intended as a substitution, is nevertheless an obvious case of a mistranslation that seriously affects characterisation (pages 213 and 214).

One of the textual ingredients that conveys the generic features of academic parody is the description of characters’ interaction, and their professional environments. As we saw in pages 215 to 217 with the conferences examples, the use of ST-oriented solutions – such as Ø translation – in these cases hinders the readers’ realisation of this parody by distancing them from the functional aspects of textual elements at all levels, down to typography. It is also clear that the adequate translation of the novels’ stylised discourses plays an important part in the reader’s perception of the text on the various areas of character, character interaction, and plot development. Where Ø translation has been used, the text may become obscure for certain
Spanish readers, as is the case with example 21 where knowledgeable readers are at a disadvantage. Only in the cases where the literal/prevalent translation has been used, the Spanish passages stand out from their co-text due to their specialised vocabulary, calling attention to themselves as functional textual aspects, as indeed they also did in the English version (examples 21-26). In these cases, the use of a target-oriented solution offers Spanish readers the same opportunities, so to speak, as the presumed British dual readership has. Indeed, for the non-specialist Spanish reader, the unfamiliar language that stands out starkly from the surrounding text characterises its user as belonging to a coterie of professionals who use such vocabulary in their work and allow it to intrude into their lives as well. To the specialist reader, on the other hand, the particulars of such discourse provide more information about the enunciators in terms of their theoretical inclinations and reactions towards other theorists.

As regards which translators have applied which solutions, it appear as if Vicente Riera favours ST-oriented translation in his 1977 version of *CP* more than Riambau and Roca in their subsequent ones. Almost in all cases where a cultural or subgenre-related element emerges in the ST, particularly the more culture-specific ones, Riera resorts to literal translation or Ø translation even where substitute or prevalent translations are clearly available in Spanish. This may be due to a lack of specific cultural knowledge on his part, or to an oversight due to the time constraints translators have to work under, or to a generalised norm that could have prevailed at the time of the translation that favoured the retention of foreign textual elements.

Whatever the reason, I would argue that the effects of this overall strategy are negative for the reader on two levels. First, in terms of his/her comprehension of the this type of ST-oriented translation is often the source of
misinterpretations relating to characters, plot, and events, promoting the apparition not only of “culture bumps”, but also “textual” and “story bumps” which can only be surmounted if the reader overlooks the conflicting information that is presented in the text, with a consequent loss of connotations. Secondly, the inadequate rendering of key generic functional ingredients, such as the Oxbridge/redbrick opposition, and the jumbling of academic jobs and grades, weakens the paradigmatic links of the novels with the rest of the subgenre tradition, although as we saw in Chapter 6, these paradigmatic links are also weakened from the outset by the marketing strategies of the current publisher of the Lodge translations.

The negative effects of such ST-oriented strategies is evident when each instance of generic ingredient is compared to the solutions that Roca has applied to his own 1997 translation of CP in the same cases. With a mostly target-oriented strategy, which might respond to the generalisation of a more explicative translation norm, Roca has generally opted for substitution and explication in his translation, which provide the reader with a clearer, more coherent text, and which uphold the several layers of referential and connotational meaning. In the case of Riambau’s treatment of genre elements, as we saw, he moves between the two extremes of ST- and TT-oriented solutions in his translation of SW and NW, mixing both tendencies. This inconsistent approach can also cause difficulties for the reader, as we saw with his Ø- and literal translations in pages 211 to 216, and his inaccurate substitutions in pages 212 to 214. Nevertheless, regardless of his inconsistencies in addressing the more cultural generic elements of settings, academic jobs, and university grades, in his translations Riambau seems to have zeroed in on the parodic aspect of the campus novels as an element that can be easily conveyed to the Spanish reader, perhaps as a function of similar perceptions of academia in the British and Spanish societies. This is evidenced by his literal-prevalent translations of the different
literary-critical discourses in the texts, which thus maintain their characterising and slightly ridiculing function in the translations.
CHAPTER 8
LODGE’S CAMPUS NOVELS IN SPAIN:
PSEUDO-GENERIC AND SPECIFIC INTERTEXTUALITY

8.0 INTRODUCTION
In his book *David Lodge*, Bernard Bergonzi has pointed out that literary allusiveness has become typical in campus novels written by professionals of English literature.\(^1\) At the same time, it has become evident from previous chapters that David Lodge’s technique of referring to well-known works of literature in order to enhance his characters and plots is a meaningful component of the university theme in his novels. His use of literary intertextuality pervades various textual levels, from the linguistic, where a mere word in a phrase or the citation of a title is used to recall some other literary text or character, to the architextual, where the text as a whole is placed in a metafictional dialogue with a pre-existing genre or group of works it evokes through its structure (as in the case of *Small World*), or its content (as in the case of *Nice Work*).\(^2\) Second-order architextual connections, where the totality of a literary genre is evoked, and specific intertextuality, where the connections are perceived at the level of concrete textual passages, character construction, or subject matter of specific texts, are analysed consecutively in this chapter.

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\(^1\) Bergonzi, *David Lodge*, p. 16.
\(^2\) Genette, *The Architext*. 
It has been pointed out that Lodge’s intention with his novels is to write a text that will give pleasure to the “surface” reader, but with additional levels of reference to be discovered by those readers who have the competence or inclination to do so. Hence all instances of intertextual reference – architextuality and parody, allusion and quotation – are the trade currency in the tacit meaning-producing collaboration between author and reader. However, far from indulging in cliquish literary obscurity, Lodge’s way of writing encourages reader participation by often pointing out in passing the sources of quotations, or having characters expand on the form or content of alluded texts. The presence of these clues indicates that, as author of a highly referential text, Lodge expects from his audience a certain familiarity arising from an assumed collective literary consciousness. His textual hints aim to make it easier for readers to decipher the intertextual references and avail themselves of their pre-existing literary competence in order to establish appropriate relationships between his novels and the texts that are alluded to.

When considering the translation of such a highly intertextual novel into a different language or culture, the reading situation changes substantially. The source-language author generally employs literary intertextuality with reference to the socio-cultural context in which s/he and his/her readers are immersed and competent. Although such competence (particularly within well-established literary systems) may include literary references that have already attained supranational status beyond the SC, the author does not normally bear in mind potential readers of the translated text in a different socio-cultural system. In general terms, when literary references and other forms of intertextuality convey important textual information, the degree of separation between the SC and the TC is what will determine the availability of this information for the readers. On a textual level,

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highly referential texts are impoverished if the literary references that enrich interpretation are deactivated for the target reader.

When the source and target literary systems are too far apart, an important textual reference cannot be efficiently communicated in an unmodified form such as $\emptyset$ translation. The translator's task when faced with referential material of this kind is two-fold. In the first place, s/he must attempt to avoid Leppihalme's "culture bumps". Secondly, his/her task is to translate and recreate the perceived interrelationships so that their textual functions are not rendered unproductive in the process. Ideally, in carrying out these tasks literary translators should be aided by a professional education and practice that provides them with a well-honed literary sensitivity, to enable them to easily identify what Ben-Porat called "allusional markers". In addition, literary translators should command a more specialised knowledge of the SC literature that reveals to them the deeper relationships of the translated text with the alluded texts. In other words, an ideal translator should hold the key to all the different layers of a writer's text and their interrelated meanings. In practice, however, the majority of translators tend to be within the range of the above-average to advanced reader. This entails that, while they are better prepared than average readers to tackle intertextuality and its meaning, there is no guarantee that every single intertextual reference will be perceived or engaged with during the translation process.

I have pointed out that a translator's professional skill and knowledge will usually prompt him/her in the first phase to tackle a literary reference and identify it as such. Within the subsequent process of interpretation, the primordial task for the translator is pinpointing the reference's function in the text, and the structural or

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4 Ben-Porat, "The Poetics of Literary Allusion".
thematic connotations it may contribute to the global meaning: whether it is important for characterisation, whether it anticipates or underlines some of the main themes in the work, whether it presents the reader with an ironic perspective on plot or characters, and so on. This function, or functions, will be the most significant element, and therefore the most important, to transmit to the TL readers. By recognising the specific function of a reference within a text, the translator takes the first step towards reinstating or recreating the intertextual links in it.

In order to achieve this task, it is necessary for the translator to be familiar with the kind of public that his/her translation addresses, so that s/he can judge approximately the degree of SC knowledge (or general culture in the case of quite widely-known references such as biblical ones) that s/he can expect from his/her readers. Clearly, Spanish readers will be at loss when encountering authors or models that have not yet entered the target literary system through translation, but even in the case where an evoked English-language author has been translated into Spanish, the status of his/her work in the Spanish system will hardly be comparable to its (probably canonical) status in its original culture. In other words, just the fact of translation cannot be expected to make a reference available to Spanish readers. Particularly in the case of the Spanish translations of David Lodge, the average TC reader cannot be expected to be highly knowledgeable of Anglo-American literature or literary criticism, unless it is those texts which have attained highly conspicuous positions within a supranational Western canon, such as some of Shakespeare’s work.

Once the type(s) of reader has been determined, the translator can decide how much importance is given to any one of the (inter)textual layers, or whether any layer can be highlighted or downplayed for the benefit of others. At this stage, the translator’s
decisions mirror those of the original ST author, who at the moment of composition also took into account the intertextual competence of his/her readers. In the case of Lodge, it is immediately observable in his “layered fiction” that he trusts that at least a part of his readership will understand and appreciate literary references and their connotations.

In the following sections, I analyse the specific mechanisms of literary reference that are set in place by Lodge as an intrinsic part of his particular brand of academic novel. I focus particularly on the different types of reference, their functions and the processes involved in their perception by readers, since, in different degrees and forms, these mechanisms all invite exercises in literary memory and recall. By considering the different levels of intertextual reference in the novels themselves, their mode of operation and their textual significance, it is possible to gauge the kind of reader response they are intended to elicit from readers. Via the examination of examples from the novels, and of the translators’ relevant solutions, I first aim to obtain an insight into how the significance of the intertextual dimension of the text is perceived by the translator, in relation to the merely entertaining or even purely informative. Other objectives are to identify potential norms that may have prevailed at the different times when the texts were translated, and to assess the dominant perceptions and attitudes that the different translators may have about their reading public.

8.1 TRANSLATING SECOND-ORDER ARCHITEXTUALITY

As I observed in Chapter 4, David Lodge has constructed each of his three campus novels around a matrix of structures, narrative elements, and literary devices that work to merge form and content intricately, as if confirming Marshall McLuhan’s maxim, evoked in Changing Places by Morris Zapp, that “the medium is the
message”. Lodge himself has commented on the presence in all his novels of a “structural principle”, which he relies on to simultaneously release and contain the potential meaning of his narrative vision. In the case of *SW* and *NW* the underlying structural principle is a contemporary reworking of two well-defined and widely-known generic subsets of texts, namely traditional chivalric romances for *SW* and the Victorian industrial novel for *NW*. From the standpoint that *SW* and *NW* are primarily tokens of what I have elsewhere labelled “campus” or “academic” novel, this kind of internal intertextual play is a second-order instance of generic intertextuality, since it is presented (within the paradigm of the academic novel) as a parodic or otherwise self-referential recreation of these generic subsets, and its elements are set in motion, in metafictional fashion, by the characters’ actions or utterances. As I argued in Chapters 2 and 6, a key effect of generic intertextuality is how it gives rise to reader expectations about genres, which may be answered or contradicted by specific instances of a genre. In pseudo-generic parody, this mechanism still functions, involving the reader, and the reader’s literary competence, in the production of comedy. In this case, therefore, translators have to estimate to what extent their TC audience is familiar with the expectations which are raised by the use of a genre, taking into account possible similarities or functional analogies between the source and target literary systems.

The ascription of the Lodge novels to their pseudo-generic referents relies on the coexistence of numerous intertextual connections that range from words to macro-structural devices of text construction. Indeed, it is often difficult to decide to what extent a specific textual item fulfils its function within the immediate co-text or has wider-ranging implications that affect the totality of the novel. Most of the time, I would maintain, such discrimination is impossible. Hence, in my assessment of

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5 Lodge, *Changing Places*, p. 60.
second-order architextuality I have focused on those broader components that without any doubt link each of the novels with the whole set of texts that it emulates, such as major structural connections, groups of archetypal characters and overarching themes. Micro-level instances of specific intertextuality, their functions, and importance, are discussed under more precise headings later on.

8.1.1 Small World and the Tradition of Romance

As I remarked in Chapter 4, the novel SW is built on the template of the old romances, particularly those in the Arthurian cycle and the Grail legend. The parallelisms between the old knightly romances and this contemporary version construct a set of straight correspondences between them on all levels, from explicit generic ascription (by means of the subtitle An Academic Romance), to character development, interaction, and plot development and resolution. In other words, SW stands by itself as a contemporary version of romance as well as an academic novel.

The romance tradition works to bring together form and content in SW, playing a fundamental role in determining the characters' motivations, actions, and movements throughout the text, as well as being the focus of interest of several main actants, and the literary area where many of the allusions and references to other texts are located. In this respect, Daniel Ammann has suggested that only when the reader gathers several of the textual clues and then steps back from the text, do “persistent clusters of theme and imagery” become evident, which can be immediately related to the Grail stories and vested with a symbolic meaning.⁷ According to Ammann, it is then that the reader becomes aware that SW is itself a Grail narrative involving several different quests. The necessary process of discovery implies that these correspondences can only be properly activated by the

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reader who has a basic awareness of romance as an existing literary genre, and some familiarity with Arthurian legends.

Lodge has occasionally declared that a "surface reader" who does not catch allusions to Lévi-Strauss or T.S. Eliot will still enjoy SW because, as a result of being modelled on the romance genre, the novel has a strong plot.\(^8\) Nevertheless, in his interview with Raymond Thompson, Lodge confirms that because he does not want to put off lay readers who may not know as much about his literary sources, he has included in the novel "a certain amount of indirect explication of the analogy between modern professors and knights of old romance".\(^9\) Indeed, the explicitness of some references, together with the over-coding of certain characters, even down to their names, indicate that Lodge is taking pains to nudge readers' memories and awaken the relevant parts of collective literary knowledge, as only then can SW begin functioning fully as a contemporary parody of romance. It thus appears from these variegated clues that Lodge's implied "average reader" is expected to have sufficient literary knowledge to see that there is a rapport between the text and legendary narratives s/he may have read or heard of. However, the explication of these references may fail to engage at least two types of readers: on the one hand, a reader who is already well-versed in English literature may find explication redundant; and on the other hand, there is a danger that general readers may find explication unintelligible or distracting, especially in cases where the reference is woven into the prose in a textually unobtrusive way.

In contrast to this surface-level explication, there is a second level of literary reference in SW which is far more obscure. Lodge admits that he attempts to bring out into the open whatever elements are vital to the structure of the text, i.e. the

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\(^8\) Haffenden, "David Lodge", pp. 160-61.

\(^9\) Thompson, *Interview with David Lodge*. 
romance elements, but that at the same time he enjoys planting nuggets of meaning which only a small percentage of his readers will perceive. This admission only confirms the dual orientation of his academic novels in relation to his assumptions about his reading public: readers who stumble on this wealth of allusion will derive pleasure from having been able to recognise it, while lay readers are invited to find out about a world which is not familiar to them, but which is still comprehensible enough to delight.¹⁰

When considering the Spanish translation situation, however, the reader’s ability or competence to participate in decoding the intertextual layers of the text cannot be simply assumed, nor easily estimated. To begin with, the Anglo-American designation of “romance” encounters a significant obstacle in the Spanish literary system where its cognate romance has an entirely different genre referent. English “romance” has two generic meanings which are different but related. The first, more general meaning of “romance”, is simply a romantic narrative, that is, one dealing with a love-story; or more broadly, that type of narrative which consists of romantic fiction or love stories. The second, more specific meaning of romance particularly refers to the mediaeval stories, usually grouped in cycles, of the adventures of chivalric heroes, such as the Knights of the Round Table and the Grail cycle. These narratives are peopled by numerous characters, they are threaded with love stories, and magical and fatal elements play an important role in the outcome of the heroes’ adventures. Both meanings of the Anglo-American “romance” intersect in SW, where academics travel around the world very much as the knights of old did, in different kinds of quests, and at the same time, several central characters are involved in love-stories, which are interwoven with and influenced by quasi-

¹⁰ Thompson, Interview with David Lodge.
magical appearances and disappearances, providential helpers and unexpected setbacks.

The Spanish translator is thus faced with the responsibility of conveying to the Spanish reader enough information about “romance” so that the structure of the novel and the vagaries of its characters will be understood in the greater context of the mechanics of a genre. However, the Spanish term romance primarily denotes a type of mediaeval poem deriving from the long epic ballads of the twelfth and thirteenth centuries. The romances, which were originally transmitted orally, narrated historical events of a heroic nature, such as battles and duels for honour, and they were compiled in collections called romanceros. As a second, rather less common referent, the word romance is a synonym of the libros de caballerías or “knightly romances” of the type Don Quixote devoured. These would be closer in meaning to the English “romance” but they are much more focused on the element of courtly love than on adventures, as the latter are merely considered a part of the knight’s valiant endeavour to obtain honour in his lady’s eyes and her affection. These romances, however, are almost exclusively known to Spanish readers by the terms novelas de caballerías or libros de caballerías, and not the word romance. Consequently, there is no straightforward correlation of genres between English and Spanish literature in the question of romance. On the one hand, the cognate term is used in Spanish for another kind of composition, and on the other hand, those works that partly parallel the themes of English-literature romance, are known by a different name. Some questions that arise thus are whether there is a term in Spanish that can be used consistently to translate “romance” and whether the translator ought to take advantage of the various points in the book where the meaning and definition of “romance” are actually discussed, in order to introduce a chosen term and be able to use it consistently through the story.
These questions appear to have been considered by Esteban Riambau, the translator of *SW*, who, probably presuming that the mere mention of the genre might interfere with the preliminary understanding of the text, has employed Ø translation by eliminating the subtitle *An Academic Romance* from the title-page of his translation. As compensation, two pages later he recurs to explication and the addition of explanatory text in the form of a footnote when he translates an epigraph from Nathaniel Hawthorne stating what is gained “when an author calls his work a Romance”, and what the difference is between a romance and a novel. Riambau’s footnote explains that Hawthorne considered his morality-oriented works “romances”, but does not go deeper into the characteristics of romance (*SW*: v, *MP*: v). Needless to say, it is surprising for the Spanish reader to find at this stage mentions and matter-of-fact explanations of a term that has not appeared anywhere else before in the book.

The example of the absent subtitle shows that in isolated occurrences it is relatively simple to omit a reference to the romance genre through Ø translation, but as I noted earlier, much of the content of the story, characters’ interests, and conversations centre around romance, both as the traditional chivalric stories and as simple love stories. For instance, the characters frequently discuss texts pertaining to the Arthurian cycle, including Jessie Weston’s theory of the origins of the Grail legend. To this combination of form and content, Riambau has provided mixed solutions. On the one hand, when references to romance are very general, and love-theme oriented, he has employed explication and provision of as much additional information as possible about the English version of romance through the text, without necessarily referring to it by its Spanish cognate. In this way, he has presented Angelica’s research by paraphrasing “romance” as “el amor en la
narrativa” (SW: 24, MP: 44), and “novela amorosa” (SW: 322, MP: 400). On the other hand, whenever the word “romance” occurs in the English text in reference to one specific book or text, most of the time he has maintained and italicised the term “romance”, which can be understood as Ø translation, or literal translation if he is genuinely recurring to the Spanish cognate and allowing the Spanish reader to link these texts to the Spanish “romance” tradition (SW: 24, MP: 44; SW: 29, MP: 50).

In addition, Riambau has had to address the extended parallelisms that SW establishes at the level of characterisation with different narratives of folk and Arthurian legend. Lodge’s characters have in many cases received names that derive from original Arthurian figures. These aptronyms are allusive, and work to label the characters from very early on in the text, by symbolically imprinting them with certain characteristics in the eyes of the informed reader. Though such parallelisms are anchored at the level of character definition, they have far-reaching consequences for the development of the story, since characters’ behaviour is a refraction of that of the Arthurian characters they are patterned on. So, for instance, Arthur Kingfisher, the elderly patriarch of the literary critics who suffers from impotence and creative sterility, echoes the Fisher King, or King Arthur himself. Fulvia Morgana, the Italian Marxist critic, charms and literally binds Morris Zapp, much in the manner of a lustful contemporary Morgan le Fay. Persse McGarrigle proclaims himself the “Son of Super-Valour” and makes a significant intertextual pun on the names Persse, Pearce, Pierce and Percival by suggesting that they are all related per se, or inherently (SW: 9, MP: 27). A modern Percival, Persse asks the necessary question at the MLA, and breaks the curse of sterility (understood as arguing in circles) that has fallen on the literary critical arena. At this junction, the whole ailing kingdom returns to its original state, and Arthur the Fisher King.

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11 The curse of sterility in the academic world of SW is neatly summed up in the sentence “The question is, therefore, how can literary criticism...”, on which an Australian academic stumbles time after time, and beyond which he cannot write a single word of his conference paper.
enthroned in the much-coveted UNESCO Chair of Literary Criticism, is ready to take on the guidance of his people.

In SW, these relationships between characters and their legendary analogues are not spelled out in the text, so it is likely that the British reader is expected to make the connections easily. For the Spanish reader, though s/he may have some knowledge of the main characters of the Arthurian cycles, the relationship is not so obvious. It is customary in current Spanish prose translations to leave characters’ names in their original form, as a way of maintaining the foreign flavour in the TT. However, in the case of the SW characters, the names are functional and meaning-producing. Faced with a possible gap in literary background, which can affect a reader’s perception of the different textual layers, a translator might decide to apply a different solution from Ø translation. However, Riambau has left each of the names in its original form without offering any additional information. Only in one instance has he opted for any kind of explicative solution, for the central figure of Arthur Kingfisher. As the character’s name remains in its English form in MP, the intertextual hint of “Fisher King” in the body of the text is unavailable to the Spanish reader. In order to inform the reader, Riambau employs a footnote to identify Arthur as the impotent king of the Arthurian cycle on his first apparition in the text, and provides a literal translation of “Kingfisher” (“rey-pescador”), explaining that it is a variation on “fisher King”, which is another name for King Arthur (SW: 94, MP: 125). However, he does not mention the prevalent translation for the bird of the same name, which in Spanish would be martín pescador. As a result of not incorporating this information into that first footnote, another footnote is needed towards the end of the text, where Arthur Kingfisher establishes a much clearer link between himself and the kingfisher bird.
Ex. 27. “The bird was a kingfisher. [...] The halcyon days were kingfisher days. My days.” (SW: 321)

“Era un martín pescador [...] Los días del halcón eran días del martín pescador. Mis días.”

[Translator’s footnote: “En inglés, kingfisher significa “martín pescador”.] (MP: 399)

Since it is the character himself who makes the bird-King connection in the text, and since this utterance pointedly marks the beginning of his recovery and return to professional life, its textual significance is great and the translator must account for it in his translation. Given that the Spanish name for the bird (martín pescador) has not yet come up in the text in connection with Arthur, the translator is obliged to add a second explanatory footnote that clarifies this connection. As this is the only way in which the translator has elucidated the connection between SW and Grail characters, the intertextual function and identity of the rest of the SW characters is likely to remain veiled for a great segment of readers.

8.1.2 Nice Work and the Victorian Industrial Novel

NW, the third of Lodge’s academic novels, engages just as markedly in second-order architextuality. The novel builds on the hypotext of the realist industrial novels of the 19th century, also known as “condition of England novels”. It also represents the beginning of a slow turn on the part of Lodge the novelist towards more realist writing, after the formal experiments of CP and SW. Weaving together these two facts, María Aída Díaz Bild suggests in her essay “Intertextualidad y parodia” that it is the literary references, both explicit and indirect, to the Victorian industrial novel of the 1840s, that allow Lodge to attain a synthesis between the imperatives of realism and the distance of a more “metaphoric” or stylistically adventurous novel.12 Reality with a metafictional streak constitutes the fictional

universe in which characters interact, an exceptional situation that is vaguely perceived by the main character Robyn Penrose when she exclaims: “I feel as if I’m getting dragged into a classic realist text, full of causality and morality”. On the one hand, the many intertextual allusions present in the text serve to reinforce the fact that on one level it functions as a metafictional reflection on the totality of industrial novels from the 1840s. On the other hand, the mingling of Robyn’s specialist subject (industrial novels) and her own life is apparent when she gives a lecture where her comments on and interpretations of the subgenre foreshadow later developments in her own life, such as her involvement in industrial activity, discussion of socio-economic issues, and her becoming unexpected heir to a large sum of money. She may have felt as if she were being dragged into a classic realist text, but in fact she does not realise that she is already a character in a full-fledged contemporary industrial novel that exploits all the themes, topicalities, and devices of the subgenre: numerous dichotomies (industry/university, humanist/businessman, managers/workers), a love interest, a compromised resolution (though not a solution) to the social problematic that is presented, and an entirely unrealistic ending.

The imprint of the “condition-of-England” novel is present throughout NW, primarily via the work of three main novelists: Charles Dickens, Elizabeth Gaskell and Charlotte Bronté. In fact, each of the six chapters into which the novel is divided carries an introductory epigraph which is taken from Hard Times, North and South, and Shirley, and which function as perfect syntheses of the content of the chapters. All these quotation epigraphs, written in the transparent straightforward style of classical realism, have been translated by Riambau literally and apparently without recourse to the pre-existing translations of these works into Spanish. For

13 Lodge, Nice Work, p. 304.
instance, the quotations from *Shirley* (*NW*: 12, *BT*: 12; *NW*: 319, *BT*: 312) are not extracted from the one translation that is available in Spanish. Nevertheless, the language of realism does not suffer from Riambau’s literal translation, as the semantics and stylistics of the translation remain close to those of the ST.

There are two further epigraphic quotations before the main body of the text, both accompanied by the mention of their original source. One is from George Eliot’s *Felix Holt the Radical* and the other from Benjamin Disraeli’s *Sybil; or, the Two Nations*, which serve to confirm the model that the novel as a whole relates to. The first one is a quotation from Michael Drayton’s *Poly-Olbion* which was itself used as an epigraph to George Eliot’s *Felix Holt*. An important feature of this quotation, which probably explains why it was chosen as the epigraph of both *Felix Holt* and *NW*, is the phrase “industrious muse”, which conflates the ideas of industry and artistic (humanistic) inspiration. The association of these two apparently warring concepts is as much a key to nineteenth-century industrial novels as to *NW*, and in fact it crops up in several moments of the story, most notably as the title of Robyn’s first book (*NW*: 52, *BT*: 50). In this sense, the adequate translation of the epigraph and this phrase has some significance in the story.

Riambau has included the reference to the source(s) of this first epigraph, despite there being no existing translations into Spanish of *Felix Holt*, nor of *Poly-Olbion*. Probably for this reason, he has opted to translate the epigraph itself literally; and the key phrase in it – also literally – as “musa industriosa”, which conveys the oxymoronic combination of art and industry for the Spanish reader, though without the same well-established literary backdrop that expands the associations of this phrase in the ST. The same solution of literal translation is used for the second

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epigraph from Disraeli’s *Sybil*, of which there is no translation into Spanish either. For this one, Riambau has also maintained the reference to the origin of the epigraph. As before, the use of literal translation does not greatly affect the semantics and stylistics of classical realist discourse and provides an informative, adequate translation, although inevitably the inter-generic connections are weakened in both cases.

Many of the industrial novels that are mentioned in *NW* bear the name of one of their characters as the title. In Riambau’s translation these titles are maintained in English through Ø translation. This happens when there is no pre-existing translation of the cited novel into Spanish, but also when there is a pre-existing one, where the title-name may or may not have been altered to agree with the Spanish form of the name.

**Ex. 28. Sybil (NW: 45, NW: 53, NW: 83)**
*Sybil (BT: 44, BT: 51, BT: 79)*

*Felix Holt (NW: 53, NW: 83)*
*Felix Holt (BT: 51, BT: 80)*

*Shirley (NW: 53, NW: 75)*
*Shirley (BT: 51, BT: 72)*

*Mary Barton (NW: 44, NW: 53, NW: 79, NW: 83)*
*Mary Barton (BT: 43, BT: 51, BT: 76, BT: 79)*

In the case of *Sybil* and *Felix Holt*, there is no pre-existing Spanish translation of these novels. There is a translation of *Shirley* available, where the title name is maintained in its English form, probably because there is no equivalent name in Spanish. As to *Mary Barton*, in this case there is a pre-existing translation where the title-name is given as *María Barton*, i.e. it is translated with the Spanish form of “Mary”. Riambau has chosen Ø translation for this title, presumably in analogy with
the rest of them or because he does not expect the novel to be very familiar to his Spanish readers anyway.

In contrast, he employs prevalent translation for those titles of novels which are mentioned in NW and are not simply the names of their central characters. Since these tend to be the better known examples of the industrial novel, they have been translated into Spanish, and some, for instance those by Charles Dickens, have attained supranational status.

**Ex. 29. Hard Times (NW: 49, NW: 53, NW: 76)**
*Tiempo difíciles (BT: 48, BT: 51, BT: 73)*

*North and South (NW: 53, NW: 83)*
*Norte y sur (BT: 51, BT: 80)*

*Little Dorrit (NW: 97)*
*La pequeña Dorrit (NW: 93)*

*Tess of D’Urbervilles (NW: 177)*
*Tess, la de los D’Urbervilles (BT: 172)*

Using the prevalent translations of these titles facilitates the participation of the Spanish reader in realising the connections between NW and its generic models, and provides him/her with the pleasure of entering into intertextual dialogue with the novel.

### 8.2 TRANSLATING ALLUSION AND MODIFIED ALLUSION

From the viewpoint that the mere process of transfer from one language to another changes and distances allusions and allusional markers from their originating source, allusion (including modified allusion, quotations and citations) presents a problem to the literary translator. This is compounded by the fact that a TC readership is generally further removed from the domain of literary competence
envisaged by the ST author as an auxiliary source of meaning for his/her text. Upon analysis of the different translation solutions that are set in place by the three translators of Lodge’s academic novels, it becomes clear that they approach allusion in very different manners. In line with prior observations, Vicente Riera’s predominant strategy in CP is literalist: literal or Ø translation of allusive phrases, few alterations to syntax, proper names and so on. Esteban Riambau, the translator of SW and NW, steers a balanced course in both novels between literal and prevalent translations, making extensive use of the latter for those texts which are well-known and have been translated in the TC, and the former for other allusions. Francesc Roca, the second translator of CP, again demonstrates a commitment to explication by his scarce use of source-oriented solutions (Ø- and literal translation), and by including numerous footnotes in his translated text, sometimes offering very detailed information about the source and meaning of specific allusions.

8.2.1 Translation Solutions
What then are the factors that motivate the choice of a solution for translating an allusion? As a reader of the ST, the translator is aware that an intertextual reference is there for a reason, that it can be textually significant and that therefore it should ideally be conveyed to the TT reader. This entails not only taking into account the different meaning-producing values of the allusion (evocation, hierarchy and erudition), but also assaying its familiarity status, i.e. whether it might be easily available for the TC audience, or whether it may be retrievable or will likely remain dormant due to its opacity. Effectively, many allusions are condemned to dormancy because their originating texts have not yet entered the Spanish polysystem and are barely known. Among those allusions whose originating texts

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15 While I am assuming that in most examples of my case study the translator has recognised the allusion and chosen a solution to address it, it is certainly possible for a translator not to see an intertextual node in his/her text. In this case, s/he may address its stylistic or content peculiarities in the same tenor as the rest of the text.
have entered the Spanish polysystem, I would argue that most of them are retrievable rather than available because the average Spanish reader’s knowledge of those translated originating texts rarely receives sufficient social or cultural reinforcement from institutions and socio-cultural subsystems to become perpetuated as part of the literary repertoire of the community. Leaving aside transcultural texts such as the Bible, the available English texts for the Spanish reader tend to be only centrally important ones, such as some of Shakespeare, Charles Dickens, or Jane Austen, which are elevated to the status of “universal” classics and are thus promoted within the literary polysystem. Readers’ knowledge of these need not extend to having read them, since they may be known only by their titles, which have become tokens in the cultural dynamics. Modified allusions are also mostly retrievable but they may also extend towards the availability pole, as SL authors tend to favour those references which are more easily recognisable and will fulfil their function by awakening the anticipated connections in the readers’ minds. Again, the centrality of these texts in the SC polysystem enhances their status in other polysystems as well. However, although the referent of a modified allusion may be more widely-known in the TC than some other more generic allusions, their additional dimension of humour and irony also conditions the translator’s choices of solution.

8.2.1.a Literalist Solutions

Independently of the familiarity status of an allusion, literalist translation solutions, such as literal translation and Ø translation where the text is left in the SL, may indicate that a translator privileges the hierarchical or erudite aspects of an allusion, feeling an obligation to translate very closely to the style and words of the originating author. The familiarity status of the allusion is transcended by the significant pressure emanating from its authoritative components. With literal
translation, if the translated allusion is not recognisable as such to the reader yet stands out as somewhat disconnected in content or style from the flow of its co-text, it can result in a culture (or rather “textual”) bump. A modified allusion that is translated literally will often result in a culture bump as well, even for those Spanish readers who would have been familiar with an existing translation of the originating work. A reader who is not familiar with the original frame will find it even harder to decode the modified allusion. Unable to recall the originating text, the reader overlooks the humorous intent of a modified allusion, as it is diluted in literal translation.

On the other hand, the use of Ø translation both by omission and by keeping the SL can easily lead to a communication breakdown, since the TT reader is denied access to textual content. In the case of Lodge’s allusive references, the use of Ø translation can theoretically be seen as replicating Lodge’s distinction between two categories of readers, where the “erudite” ones may in this case be Spanish readers with sufficient knowledge of the SL to understand the allusion/quote in the original language. SL competence, however, does not guarantee that the reader will actually be able to activate the secondary layers of meaning that emerge from the association of allusive and quoted text.

8.2.1b Explication Solutions

A translator who wants to make sure that the relevant meanings are extricated from the text by the TT reader will employ explicative solutions, whether through additions of explanatory text, internal or external marking, or paraphrasing. Depending on which solution is favoured, the results of translating allusions through explication can be wildly different. Through addition of informative text, particularly through external marking, the translator can point out an opaque
allusion and turn it into a retrievable one for the Spanish reader. On the other hand, paraphrasing and internal marking typically shift the language and style of the allusion away from its originating source and often result in the loss of its connotations, maintaining the locutionary value of the allusion that provides the semantic meaning but obscuring its intertextual ties.

8.2.1. c Prevalent Translation

It is apparent that many Spanish readers of Lodge’s campus fiction already have an interest in, and often some familiarity with, English literature. The Spanish translator may make a further assumption about his implied audience: that a reader who has read important texts of English literature in Spanish translation may well be able to recall not only the events and characters, but also sentences or even fragments in translation that are crucial or meaningful in some way and that may have become the frequent subject of allusion or quotation, i.e. recognisable allusional markers. Accordingly, s/he may choose to refer to those translations that readers are likely to be already familiar with, whether through direct knowledge (reading) or through their having become cultural references in the TC. Hence this solution requires the translator not only to be aware of an allusion embedded in the ST, but also to produce its prevalent translation, either from memory in the case of allusions to well-known texts, or through research in the case of slightly lesser-known texts that are still likely to be part of the literary competence of TC readers. In terms of the hierarchical component of an allusion, by choosing prevalent translation the translator does not take on the direct responsibility of communicating the literary merits of the source, but instead relies on the work of another translator who presumably has taken all literary dimensions into account when producing his/her translation of the originating text.
Use of a prevalent translation facilitates the evocation of a literary source for TT readers. This source, however, as I pointed out earlier, is not exactly the SL text that is alluded to, but rather the existing Spanish translation, or in other words, the alluded SC text at one remove. Nonetheless, assuming that the prevalent translation selected by the translator in order to recreate an intertextual connection stands in the TC as an appropriate representation of the alluded SC text, its use as a referent may be expected to awaken associations in readers’ minds between alluding and alluded text, and so to allow them to decode the meaning of the intertext – more or less appropriately – in the context of the alluding text that is being translated. In the case of modified allusions, the procedure of prevalent translation has the added advantage that where English works of literature have been changed by Lodge to create a literary effect, or to integrate them more easily in the flow of the text, the existing Spanish translation could also be modified slightly in order to create a similar effect for the Spanish reader who knows a pre-existing translation.

On the whole, prevalent translation as a solution appears to provide a broader basis for the decoding of allusions than any other solution, since it engages two sets of readers in the same way an allusion engages readers in a ST: readers who are not familiar with the alluded text, or with any of its translations in the TC, are still provided with its literary form and meaning, while readers who are familiar with the source of the allusion via a previous translation receive valid allusional markers of a literary nature for its recognition and decoding.

In order to better organise varied material from my translation case study, I have set it out in order of discreteness. First I have looked at citations of titles of works, as being the most concrete, stable and unmodified form of embedding one text in another with a definite function. Then, quotations are analysed as another very
visible and well-delimited form of intertext with an even greater range of functions. In the third place is a hold-all category of more generic allusions such as names, characters and so on, which are a more diluted and textually unobtrusive form of reference and are hence often overlooked. Since these are more often modified frames, I have also included those that are noticeably transformed for effect in their passage from the originating text to the alluding text, but which still remain close enough to their original form in order to be recognised and understood.

8.2.2 Translating Citation

I employ the term “citation” to refer to titles of books and periodicals that are mentioned in Lodge’s novels explicitly and in an unmodified form. Most often, they are mentioned merely in passing, and their function is to add colour and detail to the descriptions of academics’ work, though on occasion they too serve the purpose of characterising persons or events in the text. As a rule, their presence is not crucial to the understanding of the events of the novel, nor do they carry fundamental information about the plot. Nevertheless, they do accumulate in the text, so that the predominance of one particular solution/strategy over the others has a long-term effect on the reading of the text as a whole. When addressing the translation of cited titles, there arise marked differences in the way the three translators have worked. In the case of Vicente Riera, in most instances of citation in CP, he does not appear to have taken into account the familiarity-status of the cited text within the TC, which would have marked the citation as an available or perhaps a retrievable reference. In his translation of SL titles, he regularly resorts to SC-centred solutions such as Ø translation or literal translation, no matter how well-known these texts may have become for the Spanish reader. In contrast, in Francesc Roca’s translation, these textual strings are treated in different ways, depending on how familiar they may

\[\text{Citations of literary titles are, by definition, explicitly marked in the text as references to other texts, so they cannot be considered as competence allusions or opaque allusions.}\]
have become for the Spanish audience. Esteban Riambau also appears to make a clear distinction between those texts that are little-known in the TC, and those that are classics and probably familiar in some way to the TC reader.

The differences between Riera’s and Roca’s treatment of citation are evident when addressing both available and retrievable instances of it. In *CP*, for instance, Riera has not made use of prevalent translations for the title of “Sense and Sensibility” (*CP*: 45, *CP*: 69), which he has maintained in its English form through Ø translation (*IC1*: 50, *IC1*: 72). His not using the prevalent translation in this case may be due to the fact that, despite being one of the most famous Austen texts, it seems as though by 1977 there had only been one translation of it, not an autonomous one, but part of a 1971 Complete Works compilation by a little-known publisher. It is possible that this translation remained rather unpublicised at the time and Riera was not familiar with it. The text, however, is nowadays well-known in Spain, especially since the novel was made into a successful film a few years ago. This advantage of contemporary popularity is exploited by Roca, who for this available citation has used the prevalent translation of “Juicio y sentimiento” (*IC2*: 56, *IC2*: 84), one of the two most usual Spanish titles for this work, the other one being Sentido y sensibilidad. In the same vein, a retrievable citation of “All’s Well That Ends Well” (*CP*: 31), which establishes an explicit link with a lesser-known Shakespeare text (without mentioning the author), is translated by Riera closely and literally as “Todo está bien si bien acaba” (*IC1*: 36), while Roca employs the prevalent translation of “Bien está lo que bien acaba” (*IC2*: 40). Though by no means unintelligible, Riera’s translation does not establish such a clear reference to the pre-existing translations of Shakespeare’s play as Roca’s does. Once again, a presumable unawareness of any Spanish translation of it at the time of translating *CP* may account for his literal treatment of it. Roca’s title, on the other hand, is the one that
most Spanish translations of All’s Well That Ends Well use, and also the best-known.

An exceptional example of translation of a presumably opaque citation in CP would be “Gammer Gurton’s Needle” (CP: 17), a play that has not yet been translated into Spanish. While both translators have opted for the literal and straightforward translation “La aguja de Gammer Gurton” (IC1: 22, IC2: 23), Roca has combined it with external marking by adding a footnote that describes this work as being chronologically the second comedy of English drama, written by William Stevenson and first represented in 1566. The provision of such substantial information confirms his interest in making remote intertextual connections clearer, even when they do not carry particular connotations for CP, and makes the citation retrievable for the reader if only through indirect knowledge of it.

This clarifying zeal is also present in the translation of the title “Times Literary Supplement” in CP (CP: 126), which would be retrievable for average readers and only available to those with a critical interest in literature in English. Both Roca and Riera maintain the title in English through Ø translation (IC1: 128, IC2: 150). A difference arises, however, with the subsequent abbreviation of this title into its customary form of “TLS” (CP: 134), where Riera has opted for another Ø translation without providing any explanation that this abbreviation refers to the aforementioned periodical (IC1: 136). Roca, on the other hand, has consistently expanded the abbreviation to Times Literary Supplement throughout the whole text, eliminating a possible obstacle to reader comprehension (IC2: 160).

For his part, Riambau uses prevalent translations for the better-known titles of English literature, while resorting to Ø translation for those that are not so well-
known. Apart from the many prevalent translations of titles of industrial novels that were previously commented on, Riambau’s include “Julius Caesar” (NW: 114), which becomes “Julio César” (BT: 110), “Wuthering Heights” (NW: 202), which becomes “Cumbres borrascosas” (BT: 196), and “Klaeber’s Beowulf” (SW: 150), which becomes “el Beowulf de Klaeber” (MP: 195). Specifically in the last case, the translation misleadingly gives the Spanish reader the impression that Klaeber is the author of Beowulf instead of its editor, something that a British reader would normally know or infer. In another passage of NW where several book titles are grouped together, “Vanity Fair” becomes the prevalent “La feria de las vanidades”, “The Picture of Dorian Gray” becomes “El retrato de Dorian Gray” and “The Waste Land” becomes “La tierra baldía” (NW: 321, BT: 314; SW: 12, MP: 30). On the other hand, Riambau employs Ø translation maintaining the English titles for retrievable or opaque citations of lesser-known texts or those that are not likely to be seen in translation in the TC. Examples of this use of Ø translation are for instance his translation of “variorum edition of The Battle of Maldon” (SW: 149) as “edición variorum de The Battle of Maldon” (MP: 194), and “Skeat’s Dialect Dictionary” (SW: 149) as “el Dialect Dictionary de Skeat” (MP: 194) or, as I noted earlier, Mary Barton (NW: 44, NW: 53, NW: 79, NW: 83), which remains Mary Barton (BT: 43, BT: 51, BT: 76, BT: 79). In these cases, except for Mary Barton, there is no pre-existing translation of these rather unfamiliar titles into Spanish, but a literal translation would have brought the books closer to the Spanish public, also giving them an insight into the very specific topics of some of the professors’ research.

Riambau follows the same procedure in the translation of titles of scholarly journals where no prevalent translation can be said to exist even potentially, since these publications are rarely translated into languages other than the one they are edited in. In SW, Riambau employs Ø translation with all the titles of existing journals,
such as “Diacritics, Critical Enquiry, New Literary History, Poetics and Theory of Literature, Metacriticism”, which remain in their English forms (SW: 93, MP: 125) and are thus opaque for Spanish readers unless they have a semi-professional or professional interest in literary criticism. Their textual value in this case stems from the accumulation of such heterogeneous titles on the bedside table of one of the academic characters, which tells the reader about the abstract area of literary theory that the researchers are working on. As with the untranslated titles of works on page 253, a literal translation in this case might have contributed to opening up this dimension further for the Spanish reader. But on the contrary, the overall effect of so many SL phrases within the TT, though they may be dispensable in terms of meaning, is to make the text more difficult and distancing the reader.

As I stated previously, only in some instances do citations fulfil an important textual role in Lodge’s academic novels. In these cases, the differences between the three translators’ choices of procedure acquire greater relevance for the reader’s perception of the text. A particularly significant example is the translation of the subtitle to CP, A Tale of Two Campuses (CP: Title page), which is actually a modified frame playing on Dickens’s title A Tale of Two Cities. Given the fame of Dickens as a novelist in Spain, and the stature of this novel within his oeuvre, it is appropriate to consider this citation available to the Spanish reader, a fact corroborated by the numerous translations that have been made of it. However, the reference to this well-known novel has been omitted altogether from Riera’s version Intercambios (ICI: Title page). Roca, on the other hand, has made use of the prevalent translation of the novel in Spanish, subtitling his version Historia de dos universidades (ICI: Title page). As a result, in Roca’s translation (as opposed to Riera’s), the reader is presented from the very beginning with a familiar reference that informs him/her of what s/he can expect in CP in terms of literary structure:
duality and possibly a mix-up of events in two different locations, in a similar fashion to Dickens’s novel.

A further example of how the choice of translation method affects the text where citations contribute to meaning is found in Riambau’s translation of NW. There are two references in the same passage which are intended to show one character’s undiscriminating taste in books, since he considers two “popular” books to be great works on a par with those Robyn Penrose researches on. Once he has expressed his opinion, although there is no explicit judgement of these books in the text, the reader understands that Robyn does not agree with him, and that she despises his intellect and culture because of his popular taste. This makes her appear as an intellectual snob, although she thinks of herself as an open-minded anti-bourgeois Marxist. Therefore, in these two instances of citation it would be important for the Spanish readers to be able to recognise the references, as they function to set off one character against another. Despite both titles probably being retrievable for a Spanish readership, Riambau has not followed a consistent method in this passage, maintaining one of the titles in English through Ø translation and using a prevalent translation for the second title. The first citation is “The Thornbirds” (NW:194), which remains “The Thornbirds” in Riambau’s version (BT: 188). The Thornbirds is the title of a best-selling novel by Australian author Colleen McCullough, which was turned into a very successful TV mini-series and subsequently into a film in the 1980s. The acclaim with which the series was met in Australia prompted its being broadcast in many other countries including Spain, where its title was El pájaro espino, and where it also achieved great popular success. McCullough’s book was also translated in Spain under this title. This is therefore a prevalent translation that was available for Riambau and would very likely have reminded readers either of the book or of the TV series. In contrast, Frederick Forsyth’s best-seller The Fourth
Protocol (NW:196), which also brings into play the notions of “popular” and “high”
literature, is approached by Riambau through prevalent translation, using the well-
known title El cuarto protocolo (BT: 190), which also happens to be a literal
translation of the original title. The change in treatment represents an inconsistency
in Riambau’s usual translational practice, and has the effect of obscuring the
relationship of the two titles over two pages of the text, hindering the reader’s
construction of the Robyn character as flawed in her attempted rejection of
bourgeois values and snobbery.

8.2.3 Translating Quotation
A highly specific form of allusion, literary quotation is the literal reproduction of a
fragment of a text of relative length, belonging to a previously existing work, and
which can be differentiated and identified easily within the new work in which it is
included.\footnote{Morawski, “The Basic Functions of Quotation”, p. 690.} Certain typographic codes, such as quotation marks, italics, or
indentation, are often, though not always, used to ease identification of a quote; and
serve to set off the heterogeneity of discourses, in the Bakhtinian sense, that
converge at that point in the quoting text. The quote itself appears as a discrete
segment within the totality of the text, with an independent semantic value, and
fulfilling a recognisable function within the textual macrostructure. This does not
mean that quotation and quoting text are separate entities, on the contrary, as
Morawski notes, their differentiation depends on the perception of the direct
relationship which is established between both texts.\footnote{Morawski, “The Basic Functions of Quotation”, p. 690.} A quotation originates a
specific relationship between a text and an identifiable point of reference. But its
effect, as Ben-Porat pointed out, surpasses this simple connection, promoting
additional associations of a connotative nature. By way of illustration, Tom
Stoppard’s Rosencrantz and Guildenstern Are Dead quotes Hamlet in its title
through the names of two of the tragedy’s characters.\textsuperscript{19} The title awakens the specific \textit{Hamlet} reference in the mind of the reader, but it also generates other connotations of powerlessness, indignity, and fatalism which the reader preliminarily applies to Stoppard’s characters and plot. The quotation thus refers directly to its source, but indirectly it invokes elements that establish links between texts on several levels.

As with other allusions, quotations in a text can be present overtly and covertly. Overt quotations stand out due to typographical markers (quotation marks, indentation), or because their source is mentioned explicitly. Overt quotations expose their allusive character in order to facilitate the formation of intertextual links for the reader, but as with allusions, the source can be either so well-known that they are immediately available, or else they may require some research on the part of the reader in order to be understood (retrievable quotations). Opaque quotations do not openly expose themselves as quotations, though they may make themselves recognisable by their style, register, or content, which normally present differences with the style, register, or content of the rest of the text. In either case, the allusional marker relies on its own typographic, stylistic, or thematic visibility, in order to guide the reader towards deeper levels of interpretation. For this reason, it is easier for a reader to perceive a quotation than a modified frame or a more diluted form of allusion, even if it is not possible for him/her to locate its origin.

Referring back to Ben-Porat’s model of the recognition and decoding of allusions (Chapter 1), it can be asserted that the activation of a literary quotation begins in the second step of the process she describes. The first phase, in which the reader realises the existence of a quotation, happens in practically all instances due to the

\textsuperscript{19} Tom Stoppard, \textit{Rosencrantz and Guildenstern Are Dead} (London: Faber & Faber, 1967).
quotation’s inherent visibility. However, beyond this point there is no guarantee that an adequate identification and interpretation will take place. If the background information that would help to compensate the obscurity of the message is not available, the reader realises there is a deviation in the text and also understands its surface meaning, even if s/he cannot pinpoint exactly why it is embedded in the text. In this case, quotation acts as the signpost to something that it hides at the same time, but it generally does not cause a break in communication, since the overall sense of the text is still accessible to the reader. It is thus perfectly possible for a reader not to be able to locate a quotation exactly, but to be able to recognise it as such and surmise its approximate meaning in the text from the context in which it appears. But if this is true among the readership of the source culture, the possibilities of appropriate recognition and actualisation of the quotation logically diminish as a text is distanced from that culture and approaches other target cultures through translation.

Just like any other sort of allusive text, a literary quotation embedded in a text presents the translator with a textual, cultural, and communicative problem. Due to its canonical origins, it is usually framed very centrally in the literary system in which it originates, and it creates the same type of problem to the translator as other highly culture-specific cultural or linguistic elements. I have argued that the presence of a literary quotation opens up new levels of signification in the text, often providing important additional information for the comprehension of characters or situations. The whole mechanism of quotation basically depends on the reader being able to recreate the salient characteristics of the quotation in its original context, and to reinterpret them in a new context.
Translators’ decisions on the procedure to translate quotation would appear to be necessarily linked to the familiarity status of the quote (availability, retrievability, opacity). As I discussed above, available quotations are those that are most likely to be recognised and activated by the reader, primarily because they are distinctively marked within the text, but secondly because they exploit an assumed familiarity of the reader with their originating texts. They are picked and grafted onto a text by its author precisely because they offer better guarantees of achieving their textual function. With quotations that originate in highly-regarded texts whose readership is transnational (e.g. the Bible and Shakespeare), availability extends beyond the SC readership, and exists as literary competence in the TC previously to the quote being translated in the TT. Translated quotations whose availability can be presumed in the TC can thus easily maintain their information load and play out their function in the text, if the translator facilitates their identification by readers already familiar with translations of their evoked texts. Retrievable quotations, on the other hand, are still visible, as their primary allusional markers are typographical devices, but their originating texts are less well-known to the average reader. Thus, their decoding would require an effort on the part of the average reader to identify the sources of the quotations through research or consultation of references. Nevertheless, it is important to note that retrievable quotations may be available to readers who have more specific knowledge of English literature, whether in the SL or in translation. Finally, opaque quotations are inherently textually visible but their activation is prevented either by the sheer obscurity of their source – which could be true for the SC reader as well as for the TC reader – or because their source has not yet been translated into the TC polysystem.

Because of their comparatively high recognition factor, available quotations are almost never substituted or explicated in translation. Instead, when the translator
identifies the quotation and addresses it, it is generally translated by an existing prevalent translation which often happens to be a literal one as well. Retrievable quotations, in contrast, tend to invite procedures such as Ø translation, literal translation and explication. Opaque quotations are most often translated literally. In the two latter cases, it should be noted that by producing a literal translation, the translator transfers the responsibility of adequate interpretation entirely onto the reader, since his/her own role is simply to transpose the mimetic, surface meaning of the quote, trusting that the quoted author’s words will speak for themselves.

8.2.3. a Available Quotations in Prevalent Translation

Most of the quotations in Lodge’s texts that I consider readily available for Spanish readers are biblical in origin. Biblical quotations are for the most part easily recognizable for Spanish readers, as translated biblical passages in most Western languages are remarkably homogeneous in content and style, yielding established translations that mirror each other very accurately. Biblical quotations in David Lodge’s novels are translated through prevalent translations that are familiar to Spanish readers, as in the following examples:

**Ex. 30.** “wailing and gnashing of teeth” *(SW: 69)*
“llantos y rechinar de dientes” *(MP: 98)*

**Ex. 31.** “to them that had had, more would be given” *(SW: 151)*
“a aquellos que ya habían tenido, más se les daría” *(MP: 196)*

Non-biblical available quotations are also translated by Riambau through prevalent translation. This is the case of “Oh brave new world!” *(SW: 328)*, uttered by one of the characters as a commentary on the easy availability of commodities in the United States. Though originally found in Shakespeare’s *The Tempest* (Act V Scene i), this quote is more frequently associated nowadays with the title of Aldous Huxley’s novel, *Brave New World*. Its function in *SW* is to awaken in the reader a
perception of the “American way of life” under the light of Huxley’s falsely utopian society. The Spanish version of the title of Huxley’s novel is at least familiar to Spanish readers, and so Riambau has employed its prevalent translation, which is “un mundo feliz” (MP: 407).

8.2.3.b Retrievable Quotations in Ø Translation

Ø translation of retrievable quotations, whether via deletion or via maintenance of an SL form, would be expected to curtail the reader’s possibilities of decoding the intertext by means of textual clues or extra-textual referencing. A patent example is found in Riambau’s translation of NW. As we know, the novel narrates the evolution of the personal relationship between Robyn Penrose, a university lecturer, and Victor Wilcox, MD of a factory/foundry, when they are forced to collaborate in a shadowing scheme to bring together the university and the industrial world. In the last pages of the novel, the phrase “ONLY CONNECT” appears printed on the T-shirt of one of Robyn’s students (NW: 381). These two words are a quotation from E. M. Forster’s Howards End, another novel that deals with the confrontation of, on the one hand, human and artistic interests, and on the other, the rationalism of the financial and business world. In Howards End, the phrase “Only connect the prose and the passion, and both will be exalted” is used on several occasions by the main character Margaret Schlegel, trying to convince her pragmatic husband Henry Wilcox to open his mind to human, emotional and imaginative questions. In the context of NW, the phrase “Only connect” acquires a new meaning, since it also illustrates what Victor and Robyn have been trying to do since the first moment of their enforced co-operation: to connect on a human level, above and beyond their great ideological differences, and to bring their worlds closer to each other, improving both. The association between Lodge’s and Forster’s novel is reinforced for the reader by the fact that the rational businessman in Howards End shares the
surname Wilcox with his contemporary doppelgänger in NW. Furthermore, the T-shirt with the slogan appears in NW precisely at the moment when Victor and Robyn finally part to lead their separate lives, having become firm friends in the meantime. The quote “Only connect” therefore summarises the central plot of NW and reinforces the psychology of the characters through the association of this text with Howards End.

Riambau has employed \( \emptyset \) translation for this quotation, leaving it in the SL (BT: 371). However, it may be postulated that if the quote had been translated into Spanish, especially if Riambau had followed one of the already existing translations of Howards End, a Spanish reader who had some knowledge of Forster’s text, perhaps from having read it in translation, perhaps from having seen the film version of it, would have been more likely to activate the intertextual connection. The possibilities of recognition would be further improved if the translator had integrated into his version some other reference to Forster’s novel, such as a brief mention of one of its characters, following the translation solution of external marking. In the worst case, a Spanish reader who has never read a translated Howards End or seen the film, could still understand a hypothetical translation of “Tan sólo conecta” as a final summary of the plot of NW, especially bearing in mind its situation right in the very conclusion of the novel, where conclusions and recapitulations usually appear. Unfortunately, the non-translation of the quotation means that the opportunities of intertextual association for the Spanish-speaking readers are greatly reduced.

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20 David Lodge stresses the meaningfulness of fictional names when he says “proper names in fiction are of course never neutral: they always signify, even if it is only ordinariness”. Lodge, After Bakhtin, p. 103.

21 The Spanish version of Howards End that was consulted translates Margaret Schlegel’s phrase as “Sólo conecta la prosa y la pasión” [Only connect the prose and the passion]. E.M. Forster, Regreso a Howards End: La mansión, trans. by Eduardo Mendoza (Barcelona: Círculo de Lectores, 1993).
Paradoxically, the solution of Ø translation may offer very good literary results in other cases, or even be dictated by the nature of the quotation itself. Such is the case in the translation of STs that incorporate quotations or textual fragments in other languages. As Lefevere argues, these foreign-language references are hardly gratuitous, but must be understood to have been placed there for an illocutionary reason. An unequivocal example would be the multilingual quotations originating in T.S. Eliot's *The Waste Land* which are integrated in the English text of *SW* (*SW*: 261-65). Interestingly, the translator is here faced with twice-removed quotations which must be once again transferred, and with two separate illocutionary intentions, that of T.S. Eliot and that of Lodge. In T.S. Eliot's original poem, the phrases in German, Italian, French, and Latin that punctuate the English text are quotes from many other classics of world literature, and they serve to underline both eclecticism and the idea of a literary continuity that functions as the guiding principle of the poem.

In *SW*, these quotations have a familiar ring for the main character Persse McGarrigle as anonymous voices in a motley crowd celebrate a T.S. Eliot street festival in Lausanne. Persse, who has ended up in Lausanne almost by chance, suddenly finds himself in the middle of this unexpected gathering, surrounded by incarnations of the characters of *The Waste Land*, who speak amongst themselves by means of multilingual quotations from it. Though puzzled by the disparity of the voices, Persse is capable of recognising something familiar in those expressions he hears, and so he metafictionally becomes a reader of literary quotations within a fictional environment that is actually his reality. In one sense he is physically immersed in the textual mixture of diversity and continuity, whose literary importance is increased by his knowledge of *The Waste Land* as a single complete

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text with a high degree of intertextuality. In short, the surprising and unexpected qualities of the multilingual intertext emphasise the same aspects in The Waste Land and in SW. Riambau has chosen to keep all the different quotations in their SLs within the Spanish text (MP: 328-31), a solution that suggests a recognition of the source and importance of these quotations. The result succeeds in maintaining that sensation of fragmentation within a logical whole that was intended to emanate from the dense intertext for the SL readers of both The Waste Land and SW.

8.2.3 c Retrievable Quotations in Literal Translation

Literal translation is the most frequent solution applied to retrievable quotations. By way of illustration, when in NW Philip Swallow deprecates the fact that his position as Dean basically involves announcing budget and staff cuts, he quotes from Anthony and Cleopatra (Act I Scene ii), saying: “As Shakespeare observed, the nature of bad news infects the teller”. Robyn, who is listening, completes the quote under her breath, mumbling “when it concerns the fool or coward” (NW: 65). The Dean is obviously seeking justification or sympathy in his plight. However, when Robyn completes the quotation, she is dubbing him a fool or a coward. Quotation functions here to provide more depth to both characters, and in fact throughout the book the reader can clearly see how perfectly applicable the adjective “coward” is to the Dean, who accepts the numerous cuts and modifications that are imposed on his faculty without so much as a word of protest. The source, and the author of the quotation, are given as co-text in the ST, and Riambau has also included them in the co-text of his TT, so in this way both the English and the Spanish readers are informed as to the literary nature of the fragment. Riambau’s translation “como observó Shakespeare, la naturaleza de las malas noticias infecta al que las propaga”... “Cuando ello se refiere al necio o al cobarde” (BT: 63), is literal, and the language remains slightly “flat” without any kind of internal marking.
A lack of internal marking not only affects the literary style of a potentially retrievable quotation, but may also complicate its integration within its co-text, as illustrated by an example from NW. Through Robyn’s influence, Vic has discovered Tennyson’s poetry, which he especially enjoys because Tennyson is “a good rhymer”, as opposed to Jennifer Rush’s words which “don’t rhyme properly” (NW: 356). To illustrate this point to Robyn, Vic recites “Locksley Hall Sixty Years After”:

**Ex. 32.** “In my life there was a picture, she that clasped my neck had flown. I was left within the shadow, sitting on the wreck alone.” (NW: 356)

“En mi vida había una imagen, la que rodeaba mi cuello había huido. Yo me quedé en plena sombra, sentado y solo entre los despojos.” (BT: 347)

Riambau’s Spanish translation is a literal one, producing a text that is semantically very close to the English version, but which also sacrifices poetic elements that are inherent to verse and song, such as rhythm and rhyme. More specifically, in view of its co-text, a literal translation of this quote seems inadequate. Vic’s comment on Tennyson’s rhyming ability is present in the Spanish text, yet it is immediately rendered meaningless through a non-rhyming translation. There is no existing Spanish translation of Tennyson’s poetry in the form of a book, although several of his poems have been anthologised. This means that unless “Locksley Hall” is found to be among them, there is no option to refer to a prevalent translation that might maintain some of the rhyming pattern. Internal marking would be a better alternative in this case, allowing the translator to create a more poetic version of the quote, emphasising the rhyme and rhythm that are so appealing to Vic Wilcox.
8.2.3.d Retrievable Quotations in Explicative Translation

A series of quotations and several allusions in the first part of SW constitute an extended reference to John Keats’s poem “The Eve of St. Agnes”. These are uttered by several characters with explicit mentions of their source and metatextual commentaries on them, so they may be considered retrievable. In the story they serve as fuel to the character Persse’s infatuation with Angelica Pabst, another scholar and delegate at the conference that he is attending. Her pointed use of quotations and comments in her conversation with Persse leads him to think that Angelica expects him to go to her room that night, in the same way as Porphyro does with the innocent Madeline in the poem. Overcoming numerous adversities, Persse manages to gain access to her room that night, only to find that the not-so-innocent Angelica has fooled him and put him in a ridiculous position. As a result, instead of communing with his “Madeline”, Persse is left embarrassed and unhappy. Thus the Keats quotations in SW serve two consecutive ends within the text. Initially, they point at and inform of certain developments in the characters’ interaction, only to then bring an ironic edge to the overturning of these expected developments, underlining the differences between quoted and quoting text, which are parallel to the differences between the traditional romance narratives and this contemporary “academic romance”. In this game of contrasts between past and present, the romantic and the mundane, Keats’s language and style are perceived doubly as a “true” discourse of romantic love couched in sublime literary language (Persse’s initial perspective), and as artificial and deceitful in its elaborate wording and narrative (his final perspective after Angelica’s prank). In order for this double perception to be available to the TT reader, the translation of the quotes must be stylistically marked enough that its literariness borders on the ludicrous. Riambau’s translations throughout this section have been marked internally in order to elicit the appropriate response from the reader.
Ex. 33. “The hare limped trembling through the frozen grass [...] And silent was the flock in woolly fold.” (SW: 40)

“La liebre cojeaba temblorosa a través de la hierba helada [...] Y silencio guarda el rebaño en lanudo redil.” (MP: 63)

Ex. 34. “jellies soother than the creamy curd and lucent syrops, tinct with cinnamon” (SW: 54)

“jaleas más refrescantes que la cremosa cuajada y translúcidos jarabes aromatizados con canela” (MP: 80)

Internal marking in these examples include uncommon vocabulary (jaleas refrescantes, translúcidos jarabes) that mirrors Keats’s own, and syntactic inversions that promote the poetic feeling of the quotes (silencio guarda el rebaño). It is important to note, however, that with all their literariness, these translations do not correspond to any of the pre-existing translations of this poem into Spanish, and are therefore entirely owing to Riambau’s creativity.

Riambau has also combined internal marking with external marking in some other instances where Persse uses quotation to illuminate areas of his developing relationship with Angelica. These quotations are retrievable through their sources or authors being mentioned in their co-texts. At one point, Persse expresses his longing for her by adapting John Keats’s poem “Bright star!”, which he modifies by alluding to a geostable satellite instead of a star. Initially only the altered first line of the poem is uttered in isolation by Persse, but a few lines later, he quotes the whole of the last stanza of Keats’s sonnet:
Ex. 35. “Bright satellite! Would I were steadfast as thou art.”

[...]
“Pillowed upon my fair love’s ripening breast
To feel for ever its soft fall and swell
Awake for ever in a sweet unrest,
Still, still to hear her tender taken breath
And so live ever – or else swoon to death.” (SW: 145)

“¡Brillante satélite! ¡Ojalá yo fuese tan constante como tú!”

[...]
“Apojada la cabeza en el mullido pecho de mi rubio amor
Para sentir por siempre su blanda palpitación,
Despierto para siempre en dulce inquietud,
Callado, callado para oír su tierno respirar
Y así vivir siempre... o bien sumirse en la muerte.”

[Translator’s footnote: “Soneto escrito en una página en blanco de los poemas de Shakespeare”, de Keats.] (MP: 189)

Just after the stanza, Persse makes a last observation comparing his own situation to that of Keats when he penned those lines, making the quotation retrievable through this reference to its author. Upon comparing Riambau’s translation to available Spanish translations of the poetry of John Keats, it appears likely that he did not refer to a prevalent translation for it. However, Riambau’s internally-marked translation includes syntactic inversion, synaesthesia, and parallel constructions to Keats’s, and he has added a footnote to his text that identifies not only the author, but also the title of the poem, which does not appear in the ST at all. This is consistent with his explicative solutions elsewhere, where literal translations are accompanied by explications of sources that should facilitate the retrievability of these quotations by interested Spanish readers.

In example 36, Persse quotes Yeats’s famous poem “Politics” from Last Poems, with a slight modification intended for humour:
Ex. 36. “How can I, that girl standing there,  
   My attention fix  
   On Chaucer or on Dryden  
   Or structuralist poetics?” (SW: 16)

   ¿Cómo puedo yo, estando aquí esa chica,  
   Fijar mi atención  
   En Chaucer o en Dryden,  
   O en poética estructuralista?

   [Translator’s footnote: Los versos originales de Yeats dicen: “How  
   can I, that girl standing there, / My attention fix / On Roman or on  
   Russian / Or on Spanish politics?”] (MP: 35)

The literary reference is made explicit in SW with the statement that Persse is  
quoting Yeats, though it does not specify which poem or which book. It’s  
not likely that Riambau has had recourse to this poem in a pre-existing Spanish translation, as  
Yeats’s Last Poems has not been translated as a complete book, though it is possible  
that some of the published anthologies of Yeats’s verse would include this poem in  
Spanish. Riambau’s translation appears to be a literal one including Persse’s  
alterations, but in addition he has added a footnote which gives Yeats’s original  
verses, in English. Because the information is in English, this footnote does not  
actually help Spanish readers to understand how Yeats’s poem has been changed. A  
footnote that gave an unmodified Spanish translation of the original poem, either  
one by Riambau or a pre-existing one, would make it easier for a Spanish reader to  
see exactly how Persse is manipulating the original in his version, and for what  
effect.

Independently from the presence of a footnote, the interrogative form of the poem  
in the text, and the way the question is phrased, are distinctive enough to bring the  
poem back to the mind of a reader who has read a Spanish version of it before. With  
this knowledge, the reader may realise that the third and fourth verses are probably  
some kind of play on Yeats’s poem, even if they are unable to obtain extra
information from the existing footnote, and thus the comic effect of the modification remains. Furthermore, those readers who are not familiar with Yeats’s work and cannot recognise the poem nor read the footnote, may still understand that a quotable – therefore notable – poet like Yeats is unlikely to have written a poem about something as prosaic-sounding as structuralist poetics. This knowledge, together with the peculiar form of the poem and its plaintive tone, would still uphold the comic effect that it is meant to have on the readers.

8.2.3. Opaque Quotations

Opaque quotations are included in the text mostly as part of the characters’ speech, but are not identified through mention of their literary origin, though they may be marked typographically. In the SC they may be identifiable even as they stand alone, but in the Spanish TC the fact that these are intertextual references remains obscure even for the most practised readers, who may find a clue in the quotation marks or in a slightly perceptible stylistic mismatch where the quoted and quoting texts cohabit, but cannot progress from there unless an extreme effort is made to find the source of the quotation. As a rule, even in the ST, opaque quotations remain largely unmarked because their role within the text is merely semantic and their origin is irrelevant. Therefore, translators tend to use a literal translation solution even where as expert readers they have noted a literary reference. Such is the case in the following examples:

Ex. 37. “There is a tide in the affairs of men.” (CP: 174)
“Hay como una marea en los hechos de los hombres.” (ICI: 174)
“En los asuntos humanos hay mareas que te arrastran.” (IC2: 204)

Ex. 38. “Reports of my death are greatly exaggerated.” (CP: 31)
“Las informaciones sobre mi muerte son muy exageradas.” (ICI: 36)
“Las informaciones sobre mi muerte no son más que tremendas exageraciones.” (IC2: 41)
The first example is a quotation from Shakespeare’s *Julius Caesar* (Act IV Scene iii), and it is a well-known line in English literature. *Julius Caesar* has been translated into Spanish several times, though knowledge of it in Spain is not extensive. As in previous examples, Riera has translated literally and imitated the word structure of English almost exactly in his Spanish. Roca, on the other hand, has deviated from the English syntax, to the point of adding to the Spanish a relative clause with a verb that does not appear in English. In example 38, neither of the translations betrays any sign that it quotes Mark Twain’s exclamation upon reading his own obituary in a newspaper, which prompted him to send this famous wire to Associated Press. As in example 37, it becomes clear that Riera’s literal translation is far more “to the letter” than Roca’s, which takes some liberties with modifiers and word classes.

Nevertheless, sometimes the fact that a passing quotation remains dormant actually signifies a loss in the experience of reading. Nearing the end of NW, Victor, who is waiting for Robyn’s arrival at the university, is described by Philip Swallow with the line “alone and palely loitering”, which is recurrent in John Keats’s poem “La Belle Dame Sans Merci” (NW: 331). In Keats’s work, this line describes the anguished gentleman who has been deceived and abandoned by the mysterious fairy-woman he has fallen in love with. Swallow is not aware at the time of speaking that Wilcox is going through a similar emotional crisis because he has been firmly rejected by Robyn. In addition, a reader who knows of the fatalistic outcome in “La Belle Dame” will understand that although Wilcox is trying to change Robyn’s mind, any potential relationship is doomed to failure. The quotation here provides an ironic perspective on the relationship between characters and at the same time hints at the development of its future.
Although it is not probable that a Spanish reader would identify the poem from the quotation of this single line, the aid of the quotation marks do point it out as a quotation with few other leads as to where it comes from. Riambau has translated it literally as “solitario y pálidamente remoloneando” (BT: 322), which is semantically adequate but tones down the poetic language of the ST, especially by the use of the word “remoloneando”. By toning down the literariness of the language, the differentiation between quotation and co-text is blurred, and the sharp irony of Philip’s unwitting commentary on moody Victor’s infatuation is defused. This is, however, far from an unexpected outcome, given the obvious differences in the status of Keats’s work in the British literary system, and of translations of his work into Spanish, where it remains doubly peripheral, first as poetry and secondly as foreign poetry.

8.2.4 Translating Allusion

The form of allusion that I consider in this subsection is more indirect than citations or quotations, departing from their self-contained character and blending into the surrounding text. Carmela Perri views these “passing” allusions as consisting usually of names or language strings that are sufficiently overt that they can be identified and linked directly to an originating text by competent readers. In other words, in the case of these “proper name” and “key phrase” allusions, as per Ritva Leppihalme’s terminology, the allusional markers are often coextensive with the allusions themselves, i.e. the segment as a whole functions as its own marker. Alternatively, an allusion may contain a more explicit reference to an author or source, but it never appears as an exact transfer or one text into another, as a quotation or a citation would.

As with quotations, the translator’s decision as to how to address literary allusions is conditioned by their familiarity and status in the TC. Available allusions are a priori intended by the SC author to provoke a certain effect on his readers, and to that end s/he picks well-known texts that are part of his/her readership’s shared literary competence. With transnational texts, a proper name or a key term is likely to trigger the recognition mechanism in the TC reader, which would make the allusion available. Retrievable allusions, on the other hand, are not as easily identified in the TC as available ones, since they originate in lesser-known literary works. A few TC readers will be able to locate and identify them by way of their key terms, but most will have to rely on clues of different nature in order to activate the allusions, such as specification of sources and authors. The presence of these pointers allows the TC reader to retrieve the allusion if s/he has the time and inclination by locating or researching the originating text. As with other types of literary reference, allusions may be modified, though modification is usually restricted to available allusions, which offer the ST author a greater probability of recognition and fulfilment of their intended textual function. Nevertheless, due to their relative obscurity, excessive modification of retrievable allusions may cause them to become more unmarked and indistinguishable from their co-text, so that their function may be lost for the readers of the translation.

As a general rule, the translators of David Lodge have translated most allusions (available, retrievable, and opaque) through either Ø translation or literal translation. Both of these choices could be ascribed to unawareness of the allusion, though in the case of Ø translation the translator may have noted the allusion yet decided that it is not obviously available for the target readership, and so is best omitted from the text so as not to give rise to culture bumps and confusion. Both available and retrievable allusions on occasion receive a prevalent translation,
though clear opportunities are missed to implement this solution more often.
Finally, a number of retrievable translations were explicated (external marking) in Riambau’s two translations. Ø translation, literal translation and prevalent translation of available allusions are compared in the next section.

8.2.4. Available Allusions in Ø Translation

As a rule, both Ø translation and literal translation of available allusions tend to defuse allusional markers so that their evocative potential is all but lost. A solution of Ø translation, for instance, clearly hinders the interpretation of an available allusion. In CP we find the phrase “Since his departure, they made the Mad Hatter’s Tea Party seem like a positive paradigm of decision-making”, alluding to the reigning disorganisation and endless squabbles that paralyse the Rummidge English faculty’s ability to come to any agreement and be proactive about their darkening future (CP: 220). The allusive image comes from Lewis Carroll’s Adventures of Alice in Wonderland, referring specifically to the surreal Mad Tea Party episode, which by comparison casts an ironic light on the state of the English department and of its inhabitants. The allusion to Alice is certainly an available one in terms of status and familiarity, since Carroll’s book has become a childhood classic in Spain as in many other Western countries, bolstered by the film and cartoon productions that are many children’s main reference. As most Spanish children know, the Mad Hatter appears in the Spanish Alice as “el Sombrerero Loco”; however, neither of the translators has maintained the reference in his translation. Riera’s “y desde que éste se marchara habían empeorado” (IC1: 220), and Roca’s “y desde que se marchó se habían convertido en una olla de grillos” (IC2: 258), both wipe the intertext entirely off the text. Though they express the same kind of textual content as the allusion does in CP (Riera in a toned-down generalisation, Roca by use of a colloquial expression), the disappearance of the allusion voids the passage of its
attendant humour by deleting the comparison between faculty meetings at Rummidge and the Mad Hatter’s manic tea party.

8.2.4.b Available Allusions in Literal Translation

Literal translations of available allusions also overshadow intertextual connections. An example is that of Riambau’s literal translation in NW of the phrase “this expedition into the cultural heart of darkness” (NW: 141), which alludes to Joseph Conrad’s *Heart of Darkness*. On a textual level, the significance of this allusion in the novel stems from the parallel that Robyn Penrose establishes between Conrad’s oppressive “heart of darkness” and the factory environment in which she suddenly finds herself, which coincidentally is also situated in the area of the Midlands known as Black Country. On a surface level, the allusion provides a term of comparison which complements the descriptions of the dark, oppressively stifling foundry as perceived through Robyn’s eyes. A reader who is familiar with Conrad’s book will immediately evoke the connotations of heat, darkness, and insalubrity of the air that Robyn deplores in Wilcox’s foundry. But Lodge’s use of the phrase “heart of darkness” exceeds these connotations through its modification with the word “cultural”. Through it, the negativity of the term of comparison extends to the overall socio-cultural status of those whose lives are connected to the foundry, establishing a formidable parallel between them and the oppressed colonised “savages” who are the inhabitants of the Conradian heart of darkness. Thus the final twist of the allusion’s meaning is that from Robyn’s leftist perspective the foundry workers are also the oppressed victims of liberal capitalism, to the point that she describes one of the foundry workers as “the noble savage, the Negro in chains, the archetype of exploited humanity, quintessential victim of the capitalist-imperialist-industrial system” (NW: 133).
The function of the allusion is thus to offer the reader a deeper, more critical vision of the novel’s events, and to broach once more the underlying theme of the novel: the conflict between Robyn’s humanistic and Wilcox’s commercial outlooks on life. The mention of the “cultural heart of darkness” therefore enfolds a series of associations that relate the NW and Heart of Darkness texts on a descriptive, structural, and thematic level. It seems clear that in order to activate all these associative nodes, it is necessary to have a basic familiarity with the themes and plot of Conrad’s book. For the Spanish reader, the connection is available through familiarity with the Spanish translations, of which there are several. And although Riambau cannot count upon the majority of his readers knowing Heart of Darkness well, he can assume that those who do know it are familiar with it by the title under which it has customarily been translated, El corazón de las tinieblas, which would indeed function as the allusional marker for the Spanish reader.

None the less, in his translation Riambau has chosen to translate the allusive phrase literally but with a slightly different semantic twist, as “esa expedición al corazón cultural del oscurantismo” (BT: 137). On a pragmatic level, this translation does not facilitate the connection of the phrase with its source, since Riambau fails to offer a reliable allusive marker. Semantically, “corazón cultural del oscurantismo” appears to refer to a symbolic darkness of ignorance such as Lodge reflects with his own allusion in NW, but its applicability to the environment of the foundry is restricted when it makes no reference to the tangible material reality of it that horrifies Robyn and awakens this association in her mind. Consequently, the parallel between the reality of the foundry workers and Conrad’s colonised savages is dissolved. A prevalent translation of this phrase as “corazón de las tinieblas cultural” would allow the Spanish reader who already knows Conrad’s novel in translation to mentally associate both works on the different levels, depending on the depth of
his/her knowledge. As for readers who have not read *Heart of Darkness*, the prevalent title will still function as an allusional marker if they have at least heard of it, yielding a sensation of familiarity and of extraneousness to *NW*. Furthermore, on a semantic level, “corazón de las tinieblas cultural” still contains the connotations of darkness and ignorance which Riambau foregrounds in his literal “corazón cultural del oscurantismo”, so that it would have the same effect on a reader unfamiliar with Conrad’s book. In this case, recourse to a prevalent translation seems more productive than literal translation since it caters to different readers’ levels of knowledge.

8.2.4. c Available Allusions in Prevalent Translation

Available allusions can also be translated following a prevalent Spanish version of their originating text. Given the high recognisability of these allusions, this procedure helps maintain the continuity of meaning and connotation for readers who have come into contact with the originating text in translation. For them, the allusion is more likely to function in a similar way to how it is intended to function in the ST. Readers for whom the allusion remains merely retrievable, or even covert, receive the benefit of a pre-processed translated text where literary concerns were presumably addressed at the time of its translation. This is evident in the translation of “fellow labourers in the vineyards of literature” (*CP*: 45), a biblical allusion that was translated by Roca with the prevalent phrase that appears in most Spanish versions of the parable: “compañeros de fatigas en los viñedos de la literatura” (*IC2*: 56). For the reader who is familiar with the biblical parable, this modified metaphor brings a new image to the theme of academia relationships: just like the labourers in the Bible, who were all treated equally no matter when they had started work, so Morris Zapp views his colleagues as toiling the vineyards of English literature all at the same (ineffective) level, while he strives to rise above
them and write the ultimate critical work on Jane Austen. Riera’s explicative translation of “sus colegas dedicados a la literatura” (ICI: 49) which reduces the metaphor to sense by rephrasal, tones down its more transcendental connotations.

Not employing a prevalent translation may indeed result in clear available allusions losing most of their effect through being translated in other ways. This is illustrated by the translation of the modified frame of “Oh God, the guilt, the guilt!” in CP (CP: 103), a recognisable allusion to Kurtz’s dying words “The horror! The horror!” in Joseph Conrad’s Heart of Darkness, which he cries out in despair as he realises the enormity of human depravity, including his own – the real “heart of darkness”. In CP Philip uses these words when despair and guilt overwhelm him after he has been unfaithful to his wife Hilary and is faced with his own depravity. This modified allusion is easily available for the British reader partly because of the contextual parallels, but mainly because it relies on switching one abstract noun for another in the frame while maintaining the same repetitive phrase structure as appears at the crucial moment of Kurtz’s death in Heart of Darkness. In this way the allusion offers a connection between the two works of literature, opening up a humorous perspective as Philip’s sorry situation is compared to Kurtz’s more transcendentally brutal anguish, which is really a statement on the darkness that lurks within the heart of all humankind. Riera has paraphrased the allusion, altering the ST syntax in the process. His translation of “¡Qué culpable se sentía, Señor, qué culpable!” is a reduction to sense by rephrasal, which turns the two SL simple noun phrases into a compound two-part sentence in Spanish, with an elision of the verb in the second part (ICI: 106). The semantics of “guilt” is maintained in Spanish with the word “culpable”. Roca’s translation of “¡Oh Dios! He pecado, he pecado” departs even more from the SL, firstly by separating the exclamation “¡Oh Dios!”
from his second compound sentence, and then by turning the latter into a highly
dynamic verbal construction with the wholly different semantic meaning of “pecar”.

In both Spanish translations, because of the notable semantic and syntactic
differences between the ST and the TT, the TT reader has very little chance of
recognising a modified allusion, and even less chance of finding out which text it
points to and of decoding its meaning within *CP*. Should a prevalent translation of
the evoked text be sought for this allusion, the most easily available one is Sergio
Pitol’s, who translates the original utterance as “¡Ah! ¡El horror! ¡El horror!”.
Several other existing translations use precisely the same parallel phrase. It is safe
to assume that Kurtz’s words, being prominent, climactic, and highly meaningful in
*Heart of Darkness*, will stay in the readers’ memories, even in the mind of those
who read a translated text. Due to this meaningfulness, it appears more practical to
approach this modified retrievable allusion through a procedure of prevalent
translation, including some slight change to the prevalent phrase in order to reflect
the modification performed by Lodge in *CP*. A translation along the lines of “¡Ah!
¡La culpa! ¡La culpa!” would emulate Lodge’s modification by switching one noun
for another, and may foreground the connection for those readers who are already
familiar with *Heart of Darkness*. The literary competence of the Spanish reader in
this respect can only be assumed, but if indeed it is present, it is the prevalent
translation that allows the allusion to continue working in the text.

8.2.4. d Retrievable Allusions in Ø Translation

Ø translation for retrievable allusions effectively curtails a reader’s possibilities of
tracing the allusion to its source. This is evident in cases of omission, but also in
cases where the text segment is left in its SL. By way of illustration, there is in SW a

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reference to the “Celtic Twilight Summer School” (SW: 251), which has been maintained in the translation as “Escuela de Verano Celtic Twilight” (MP: 315). In SW, the name of the school is the allusional marker, a reference to Yeats’s book by the same title which serves to highlight the Irish character Persse’s melancholic retreat from academic conferencing after he fails to win his idealised Angelica’s love. A Ø translation of it fails to provide the reader even with the metaphor linking twilight and emotional despair, and therefore renders the allusion irretrievable. However, Yeats’s Celtic Twilight was translated into Spanish in 1986 by the novelist Javier Marías, with the title El crepúsculo celta. This title might have served as a prevalent translation, working as the allusional marker for readers who are familiar with the text, and for those who are not, as a TL metaphor that links Persse’s current occupation with his dejected feelings.

8.2.4 e Retrievable Allusions in Literal Translation

Literal translation can also neutralise the possibility of retrieval of lesser-known allusions. When Vic Wilcox muses to himself: “Where are they now, the Hillman Imps of yesteryear?” (NW: 25), wondering about the fate of British-made cars in a situation of national economic difficulties, this is a modified allusion originating in François Villon’s “Mais où sont les neiges d’antan?”, from his Ballade des dames du temps jadis. The English translation that serves as a basis for Lodge’s modification was originally done by Dante Gabriel Rosetti and maintains the ubi sunt theme. This translation became well-known and is highly recognisable by its use of the rhetorical question with the archaic “yesteryear” as a motif. These two elements, the question format and the word “yesteryear” have become the allusional markers for this reference in the ST. Esteban Riambau’s Spanish translation, however, is literal and even downplays the specific style of the allusion by substituting a more common expression of time for “yesteryear”: “¿Dónde están
ahora, los Hillman Imp de hace tan poco tiempo?” (BT: 24). Nevertheless, several Spanish translations of Villon’s poem were available to Riambau at the time of the translation of SW. All of them maintain the question format, as indeed he does in his translation, but they also employ the archaic antaño as a direct correspondent of “antan” in the Villon poem. Although the mere inclusion of both elements – especially antaño – in the translation would still not make this obscure allusion widely available, it could alert the readers to a literary intertext based on the traditions of the old ubi sunt theme that was developed also in mediaeval Spanish poetry.25

8.2.4.f Retrievable Allusions in Prevalent Translation

Sometimes, retrievable allusions are indirect references to titles of works, which are presumably more easily remembered than fragments of the texts themselves both for the SC readers and for the TC readers. Title keywords function in these cases as allusional markers. When these allusions are translated according to prevalent translations of the alluded texts into Spanish, it becomes easier for the TC reader to perceive them as markers and carry out the intertextual connections:

**Ex. 39.** “this is the turn of the screw” (CP: 127)
“Y aquí viene la vuelta de tuerca” (ICI: 129)
“Y esto es lo que me reconcome” (IC2: 151)

**Ex. 40.** “sitting in Washington Square [...] thinking about Henry James” (SW: 330)
“Estaba sentado en Washington Square [...], pensando en Henry James” (MP: 410)

**Ex. 41.** “a grip as tight as the Ancient Mariner’s” (SW: 254)
“presa tan fuerte como la del Viejo Marinero” (MP: 319)

25 Notably in Jorge Manrique’s fifteenth-century *Coplas por la muerte de su padre.*
All the above utterances function in their texts to shape the characters that proffer them by emphasising their propensity to perceive the world around them through the lens of literary texts. In example 39, the ST makes a reference to Henry James’s *The Turn of the Screw*. Riera’s translation employs *Otra vuelta de tuerca*, the prevalent title of the many Spanish translations of the novel. In contrast, Roca effects a loose translation centred on an associated meaning of the allusion (“me reconcome”), entirely deleting the connection with James’s book. In example 40, the allusion to James and his work is reinforced and in fact becomes clearly retrievable through the double reference of title and author. Riambau’s translation takes the form of the prevalent translations for this novel, which are nearly all entitled *Washington Square* in Spanish. Although the translation may not be purposely prevalent and instead may be due to the translator’s decision to maintain the names of streets and squares in their original form, ultimately it allows the reader that connection with both novel and author. Finally, the title of “The Rhyme of the Ancient Mariner” has been translated into Spanish in slightly differing ways, but the name of the character has for the most part remained “el Viejo Marinero”, becoming the prevalent translation that Riambau has used.

8.2.4. g Retrievable Allusions With Explication

On occasion Francesc Roca resorts to explicitation when retrievable allusions are in danger of becoming culture bumps for the Spanish reader. In an illustrative instance from *CP*, shy, unconfident Philip Swallow, who is exchanging his teaching post for a year with the notorious womaniser Morris Zapp, warns his wife to keep their young daughter well away from Zapp because he does not trust him, although he does admit that “He’s not, as far as I know, another Humbert Humbert” (*CP*: 131). From this allusion, the reader who recognises the name of the main character of Nabokov’s *Lolita* immediately establishes associations with Humbert’s pathological
attraction to young girls, his lack of scruples and his amoral behaviour. Within *CP*, one of the functions of this allusion is to cast a highly ironic light on the fact that, by the time he warns his wife about Zapp, Swallow himself has already started a kind of relationship with Melanie, a young college student who eventually turns out to be Zapp’s daughter, although Swallow is not aware of this. The allusion further serves to highlight the hypocrisy that is gradually enveloping Swallow, as a result of the moral discrepancies that arise during his process of adaptation to the Euphoric way of life. And, in a further allusive twist, Zapp himself later starts a relationship not with Swallow’s daughter but with his wife Hilary, thereby establishing a kind of parallel to Humbert Humbert’s marriage to Lolita’s mother Charlotte.

The translators of *CP* are therefore faced with a proper name allusion that is only retrievable if the Spanish reader is familiar with *Lolita* – with the novel or with either of the two film productions from 1962 and 1997 – and is able to accurately recall the name of the main character, which – following the norm for proper names – has remained in its English form in the Spanish versions, both novel and film. Riera has translated this allusion as “No es, que yo sepa, un nuevo Humbert Humbert” (*IC1*: 133), opting to leave the name so that readers who know *Lolita* will make the necessary connection, and understand the different levels of irony. As a drawback to this translation, simply inserting an English name in the middle of the paragraph – and a peculiarly repetitive one at that – without any indication of why it appears there, may cause incomprehension on the part of the Spanish reader who has no first-hand knowledge of *Lolita* and therefore cannot use it in order to produce meaning nor to construe the irony in Swallow’s statement. Roca’s translation of “No me consta que sea un corruptor de menores” (*IC2*: 156) does away with the literary reference as such but retains the meaning of the comment through an explicatory translation, reducing the allusion to sense by rephrasal. It is a
less subtle way of bringing up the same connotations that are associated with
Nabokov’s Humbert Humbert, but since the reader is already aware that Swallow
has been sleeping with Morris Zapp’s daughter, the effect of irony and the
characterisation of Swallow as a hypocrite also arise from this translation. It does
not, however, salvage the connection of Zapp and Hilary’s affair with Humbert and
Charlotte’s marriage.

Even in instances where the appearance of an allusion is not crucial to
understanding characters or the development of a plot, Roca has often resorted to an
explicative translation:

**Ex. 42.** “‘I pass, I pass’, he said sneeringly, like Mrs Elton on Box
Hill” (*CP*: 135)

“‘Paso, paso...’ decía burlonamente, como la señora Elton en Box
Hill” (*IC1*: 137)

“‘Paso, paso...’, decía burlón, como la señora Elton en Box Hill”

[Translator’s footnote: “Personaje de *Emma* (1816), una de las novelas
de Jane Austen”.] (*IC2*: 161)

The information that is needed for the reader to interpret how the speaking character
in *CP* resembles another literary character, is to a great extent provided by the
adverb “sneeringly”. In this sense, Riera’s translation conveys the basic meaning to
the reader, though it does not provide the specific information about who the
alluded character is, nor does it awaken recollections of her as a pompous ignorant
woman. The allusion remains opaque in his translation. Roca’s footnote, by
contrast, makes the allusion retrievable by providing the information that would
allow an interested reader to follow up the reference. Even so, assuming a reader
who has not previously heard of Mrs Elton or *Emma*, the footnote has no immediate
effect on the understanding of what is happening in this passage, which still
depends on the word “burlón” modifying the speech of the speaking characters.
8.2.4 Opaque Allusions

These are unmarked allusions that refer to literary texts that are little known in the TC. Because the reader does not possess the literary knowledge to immediately identify them, and lacks the specific hints that render allusions retrievable, mostly they are overlooked and only noticed as instances of “culture bumps”, i.e. linguistically intelligible but disconcerting stretches of text. They remain dormant because they remain inactive. Examples of opaque allusions are:

**Ex. 43.** “Noël-Coward-type entrance” (CP: 82)
“entrada teatral a lo Noël Coward” (IC1: 85)
“entrada teatral en la sala de estar a lo Noël Coward” (IC2: 99)

**Ex. 44.** “dark Lawrentian joy” (CP: 100)
“sombrio goce a lo Lawrence” (IC1: 103)
“turbio placer, al estilo de Lawrence” (IC2: 120)

In both examples, there is no further clarification of the literary references, rather the expressions are translated literally and left unconnected to their literary connotations. A further modified allusion can be found in the phrase “standing amid the alien porn of Soho” (CP: 112), which alters John Keats’s phrase in his “Ode to a Nightingale”, which tells of how Ruth “sick for home, stood in tears amid the alien corn”. The rather clever word-play, which underlines the fundamental feeling of uprootedness and not-belonging that plagues the two exchange academics, is certainly not maintained in the literal translations of Riera and Roca, which are very similar in style. Riera has “en la pornografía extranjera del Soho” (IC1: 114), Roca has “en medio de la pornografía extranjera del Soho” (IC2: 134). Both of these are situationally apt, i.e. they do not stand out from the surrounding text in the literal translation, just as the allusion does not stand out in the ST for the reader that has no awareness of Keats’s originating phrase. In fact, this allusion’s unmarkedness even
in the ST may have caused the translators to overlook it, and so to overlook its special connotations in their translations.

8.3 CHAPTER CONCLUSIONS

In this chapter, I have shown how Lodge’s use of literary references in his campus fiction is highly meaningful from the point of view of content and structure, and functions at different textual levels. Since Lodge is aware of how the intertextual dimension completes in many ways the meaning of his novels, and how it is one of the features that more decidedly puts his novels in touch with the generic tradition in which they are inscribed, he endeavours to use as intertexts those texts that he assumes will be part of the collective literary competence of the society he is writing for. Needless to say, this assumption ceases to be valid with the texts’ translation into a TC. Devoid to a great extent of the knowledge of the British literary system that Lodge often refers to, the Spanish reader may be presented with a rather impoverished text if intertextual reference and allusion are not addressed by the translators with a certain amount of textual sensitivity and ingenuity.

In the area of second-order architextuality, which I have also referred to as pseudo-generic intertextuality, Lodge’s use of pre-existing literary texts or traditions as a “structural principle” around which to build two of his novels (SW and NW) promotes certain reader expectations about the development of plot and characters. It also confirms the British reader’s expectations about the additional literary layers of contemporary campus novels, but as I argued in Chapter 6, this is an interpretive aid that is not available to Spanish readers. Riambau’s approach to these architextual characteristics has not always been consistent. In SW, for example, he veers between Ø translation (omission) of the romance reference in the subtitle, and explication via external marking and paraphrase of the same concept at other points
in the novel (pages 237 and 238). In the same vein, he spells out the relation between the Kingfisher character in SW and the Arthurian Fisher King by way of several footnotes, but he omits any such explanation of the intertextual connections of all the other characters. This inconsistency may give rise to the readers’ misapprehension as to what extent the romance reference is functional in the novel. Interestingly, Riambau’s choices in this area in the translation of NW seem to have taken into account the familiarity status of the industrial novels that are mentioned, using literal or Ø translation for those titles that are not expected to be well-known in the Spanish system, and prevalent translations for those that are, such as Dickens’s novels. This procedure facilitates the connection for a broader band of readers who will at least have heard of the titles (pages 243 and 244).

In regard to the translation of more specific allusions, citations and quotations, I have shown that the textual connotations which they convey are often rather important for the reader’s comprehensive understanding of events and ramifications of the plot, characterisation, character interaction and the metafictional layers of the story. In these instances, one of the translator’s priorities should be an adequate transfer of the allusional marker, so that, insofar as it can be possible, it will activate the TT readers’ association of texts so as to produce meaning and connotations similar to those that were originally intended in the ST, and which complement the surface meanings of the text. His/her success is obviously partly dependent on the explicitness with which the reference appears in the text, and on the availability of the source referent for his/her readers, which is conditioned by familiarity and status factors.

So for instance, in the case of highly visible intertextual references, such as available citations, quotations, or allusions, the use of Ø or literal translation can
prevent most readers from establishing connections between texts. Examples of these were Riera’s omission of the modified frame playing on Dickens’s Tale of Two Cities which subtitled CP (page 254), Riambau’s literal (and semantically shifted) translation of an evident allusion to Conrad’s Heart of Darkness that was meant to enclose multiple associations of a descriptive, structural and thematic nature between NW and Conrad’s text (page 276), and the vanished reference to the Mad Hatter’s Tea Party, which would open an ironic perspective on the mechanics of the Rummidge English Department meetings (page 274). In all these cases, a different translation solution could offer the reader a pointer toward deciphering the intertext.

Indeed, in the cases where an available intertextual allusion has been solved in a different way, the association has often been made more visible for the TT reader. Riambau and Roca’s prevalent translations of titles allow for their immediate identification by Spanish readers who are familiar with the texts (pages 251 to 253), and biblical quotations are immediately recognisable in their prevalent forms as well (examples 30 and 31). Explicit forms of modified allusion, such as the “The guilt! The guilt!” I discussed in pages 278 and 279, would also benefit much more from a prevalent translation where the intentional modification can be made to alter the quotation itself - and therefore its connotations for the novel – in a similar way to how it was intended in the ST frame. It is interesting to note that available forms of literary reference have generally attracted either a literalist solution, indicating perhaps a lack of knowledge of the alluded source, or a prevalent solution, which points at a knowledge of the source, and confidence that the reference will also be available for the average reader.
Whenever the intertextual reference is thought to be either retrievable or else too opaque for the reader, more translation alternatives are present in the texts. Literal translation is still extremely frequent, with its accompanying negative consequences of connotational and information losses, and even of textual incoherence (pages 264 to 265, page 272, page 280). In the case of Ø translation, in all cases it effectively curtails the reader’s possibilities of tracing an allusion to its source, either by omitting it altogether, or by maintaining the language barrier. So for example with Riambau’s “Celtic Twilight” on page 280 above, or his Ø translation of titles of various books and existing journals (pages 253 and 254). In the latter case, the substantial accumulation of SL-fragments in the TT causes difficulties and psychological distance for the reader. A more serious consequence of Ø translation is observed when in NW Riambau misses an important chance to summarise neatly the central plot by Ø-translating “ONLY CONNECT”, denying the reader the possibilities of recognising its source as Howards End, and of activating the numerous connections between both texts on the levels of theme and characters.

Nevertheless, a few opaque and retrievable references have also been translated with more target-oriented procedures. Particularly Roca’s interest in making remote intertextual connections clearer for the reader is patent in his frequent use of explication in the form of the addition of external marking (page 252, page 284) and paraphrasing (page 283), as well as prevalent translations for even those literary references which might be more obscure for the Spanish reader (pages 281 and 282). Riambau also chooses different modes of explication for highly retrievable references whose sources or authors are mentioned in the texts. External marking by way of footnotes sometimes includes more information about the author and source than is given in the co-text (example 35), indicating an interest in making the intertextual reference retrievable for as many readers as possible. On the other hand,
it sometimes falls short, as with example 36, where the explicative footnote is no
more than the original text of the source in English, minus the changes that make
the fragment significative for SW. In certain parts of SW where poetry is quoted,
Riambau has opted for stylistic internal marking (examples 33 and 34), combining
it with external marking in example 35.

As a summary, it appears that the key factors concerning how an intertextual
allusion is translated are explicitness and familiarity of the allusion in the TC, not
only for the TC readership, but very significantly also for the translator. In this
regard, a major hindrance for an appropriate, “functional” transmission of
intertextual references and their contribution to textual meaning seems to be a
translator’s possible lack of textual awareness or background knowledge. To be
sure, if the Lodge translator does not see the allusional marker due to its being
inconspicuous within its co-text (no typographical marking or co-textual clues, for
instance), and in addition he cannot recognise it due to unfamiliarity with its source,
a literal, or often a Ø translation procedure is applied, with its inherent
impoverishment of the text’s layers of meaning. Unfortunately, as we saw in Riera
and Riambau’s translations, this lack of recognition on the part of the translator
appears to be relatively frequent for retrievable and opaque allusions, possibly due
to time constraints on the translator’s work. The effects of this source-oriented
strategy are, as I argued, negative in most cases, and alternative choices could
prevent the translation losses from occurring.

On the other hand, with clearly available allusions which are well-known, or those
that are made visible by clues in the co-text (not least their typographical marking,
such as quotation marks or verse layout), the translators resort much more often to
prevalent translations and explication solutions of different form, such as addition
of footnotes and internal marking of style, therefore prompting readers towards identifying the sources and meaning of the allusions, and entering the intertextual game. This was perceived in Riambau and Roca’s general treatment of those allusions that are better-known by Spanish readers, whether they allude to transcultural sources, or to the more canonical or popular elements of English literature, which have entered the Spanish literary system. It was also patent in their efforts – particularly Roca’s – to provide extra information (by way of footnotes or paraphrasing), about those texts and literary elements the Spanish reader might not be so familiar with, but which due to their marked presence in the text might be cause of a culture bump, as well as misinformation, if left unexplained. The consequences of this target-oriented strategy are for the most part positive, opening the door to the reader’s participation in the text’s intertextuality, and offering a fuller range of meaning-layers, and thus they certainly seem to compensate the one objection that could be raised, that of distracting the reader through use of footnotes.

From the evidence obtained through the case study analysis, I am inclined to preliminarily ascribe this type of translation behaviour in the area of specific intertextuality to some sort of norm that favours the target-oriented transference of well-known literary referents (prevalent translation, substitutions, explicative additions or paraphrases and so on) but simultaneously accepts the Ø- or literal translation of obscure ones. This may be a purely personal decision on these particular translators’ part, or else it might comply with an existent translation norm that guides general translation behaviour. If the latter were true, it would appear as though for Spanish translation this norm has gradually become more directive or more firmly established, judging from the visible differences between Riera’s 1977 translation of CP, where source-oriented strategies of Ø- and literal translation were
extremely frequent, and Roca’s 1997 version, where the tendency is to bring the literary references closer to the target reader, in a definitely target-oriented overall strategy, with Riambau’s work falling somewhere in between. Each translator’s behaviour with regard to this norm, if such it is, has overall textual consequences as I have argued with the examples provided in this chapter, and thereby it conditions readers’ perception of the Lodge novels. However, bearing in mind the limited scope and restricted focus of this study, I am certain that any confirmation of the existence of such a norm, or of its gradual development, must arise from further research work that seeks consistent, verifiable repetitions of the same pattern in other translators’ work at different time periods.
CONCLUSION

This thesis has explored the inter-related concepts of intertextuality and genre in translation, with particular reference to the translation of the campus novels of David Lodge into Spanish. The main question at the centre of the research has been to what extent intertextuality is altered in translation. The two main lines of investigation have been generic intertextuality (also labelled “architextuality”, i.e. those traits that link Lodge’s campus novels with the existing Anglo-American tradition of campus novel writing, and the conventional reading expectations therewith associated), and specific intertextuality (the specific allusions, quotations and citations that are not only a further generic feature of this type of novel, but also constitute a key meaning-producing device in Lodge’s texts).

In terms of the theoretical framework upholding the practical research, I have established that in order to apply the concept of intertextuality to translation research, it is best approached from a reader-oriented angle, given that a translation process is usually driven by the objective of conveying a certain text to a certain reader community. In intertextual terms, this means that the translator needs to take into account the extent of his/her target readers’ presumed familiarity with the source culture’s literary paradigms, texts and values that are intertextually linked, in a more or less significant way, to the text s/he is translating. One of the source-culture literary paradigms, I argued in Chapter 2, is that of generic affiliation, which emerges partly from theoretical and formal prescriptions, and partly from historically- and socially-based conventions as to what texts are regarded as belonging to which genre. Genre affiliation is thus highly culture-specific, a fact that must be taken into account by the translator. The last part of the theoretical
framework has focused on translation solutions and their potential effects on a text when selected by translators in order to convey diverse intertextual constituents.

As to the practical research, the systematic comparison of source texts and target texts has yielded a large number of instances where (sub)generic and specific intertextuality have been altered by the translation solutions that have been implemented. During the analysis of these instances, the repetition of certain patterns in translators’ behaviour and choices has shed light on their overall translation strategy and also on their awareness and attitude towards intertextual connections of different kinds. So for example, Vicente Riera’s 1977 translation of Changing Places seems to have been remarkably source-oriented, with the use of Ø- and literal translations and a significant number of word-for-word syntactic calques. By contrast, Francesc Roca’s translation of the same text twenty years later is target-oriented as a whole, with the use of different explication strategies, particularly the addition of extra information. Some inconsistencies in his general strategy can be explained by his referring to Riera’s prior translation as a basis for his own and by the fact that he did not always modify Riera’s text in order to bring it closer to his own general translational tendencies, nor in order to correct certain errors and mistranslations. Finally, Esteban Riambau was the sole translator of Small World and Nice Work into Spanish. His translations betray a certain lack of consistency in his overall strategy, where he sometimes prioritises source-oriented solutions, and sometimes target-oriented ones.

Different solutions, my investigation has concluded, have different textual effects, which in turn alter the intertextual framework of the text and can therefore prompt a different reader response from what may have been originally intended by the source text in question, or by its co-generic texts. Particularly in the Spanish
translators of Lodge’s campus novels, an accumulation of source-oriented, literalist strategies, such as $Ø$ translations and literal translations, seems to affect the functionality and significance of their subgeneric qualities in a generally negative way. It tends to dilute the importance of the academic setting and lifestyle, and it effectively deactivates the secondary layers of meaning and intertextual reference for the Spanish reader. The books lose the depth of their generic affiliation, the richness of their literary subtext and, in many cases, the parodic humour that functions with reference to certain culture-related items. In addition, $Ø$- and literal translations may cause an alienation of the target reader which would come about mainly through the presence of culture gaps (unknown cultural referents) and culture bumps. In these cases, the reader cannot easily integrate these segments with the rest of the text because s/he does not possess the necessary information to decode their referential or functional meaning.

Evidence from Chapter 6 suggested that there may exist a preliminary translation norm that favours the translation of Lodge’s fiction within Spanish book publishing. However, as an attendant factor, the marketing strategies that separate the trilogy into different collections mean that the books are presented to readers as plain fiction without any hint of their being intertextually related through recurring characters and settings, much less of belonging to a specific well-established subgenre with its own tradition and conventions. If this is added to the toning down of academic references and literary allusion in translations such as Riera’s, the reading layers envisioned by Lodge are homogenised and references become more difficult to perceive. The intertextual game is therefore modified, and the novels may begin to be regarded as regular fiction instead of as forming part of an established subgenre. On the other hand, more target-oriented strategies, such as prevalent translations, appear to be more effective in upholding the function of
these elements within the target text. Via the use of explicative solutions, translators can spell out secondary connotations for readers, or point them in the right direction should they want to follow up a literary reference.

Having said this, my research has also shown that any translation solution, no matter whether it is source- or target-oriented, may turn out to be unsatisfactory if it is based on an inaccurate or incorrect correspondence between source and target languages, since it will provide the reader (initially, at least) with apparently straightforward information that subsequently shows itself to be inadequate for the comprehension of the novel (e.g. false friends, inaccurate substitutions, and so on). This misinformation may eventually become irreconcilable with its context, thereby giving rise to cultural and textual bumps which may be problematic for the reader.

In general terms, the examples provided throughout this research project suggest that a more target-oriented translation in the case of Lodge’s campus novels involves a special effort to make some of their particular intertextual traits comprehensible, visible and functional for Spanish readers, even at the cost of a certain amount of modification. This was perhaps more evident in the substitutive and paraphrasing solutions to academic- and culture-specific features discussed in chapter 7 and in the abundance of footnotes and explications provided by Roca for the literary references discussed in chapter 8. On the other hand, translation solutions such as Ø translation and literal translation generally denote a translator’s inclination to stay as close as possible to the source text, over and above any considerations of adapting the text to the target culture reader. These source-oriented solutions may be generally said to bypass the specificity and functionality of generic traits, ignoring the importance of conveying them to the target text reader in some way. Remarkably, in the area of specific intertextuality, Riambau seems to
have considered – more than either of the other two translators – whether a literary reference could be expected to be familiar enough to the target reader, and seems to generally have acted upon this estimation, using prevalent translations for the better-known references and literal solutions for the more obscure ones. He has also tended to employ stylistic internal marking for specific intertextual references more frequently than the other two.

A concluding observation stemming from the whole of the case-study research would be that a text’s intertextual connections ought to be a fundamental point of reference and a conditioning factor in the production of a translation. As I have shown, intertextual markers are often meaning-producing text items, not just formal or stylistic devices with a simple ornamental function. Bearing in mind that due to the different organisation of languages and cultures translators often have to decide which aspects or items in the text will be maintained at the expense of some others, it would be up to the translator to locate and analyse each instance of a textual element that carries genre-related information, decide upon its relative importance for the text as a whole, and make an informed translation decision accordingly. The result of such informed decisions should, it is hoped, be a more consistent, text-aware translation that will be received as a coherent, unified text in the target culture.

The above-mentioned findings of this project are presented as a double contribution to existing translation research. In the first place, in terms of its subject matter, the thesis aims to aggregate to the existing knowledge about translations, translation processes and translators’ role in shaping their texts, particularly in certain aspects. More generally, the research has also highlighted the necessity of including architextual considerations in the investigation of intertextuality in translation,
where research has to date tended to focus on specific intertextuality. Secondly, in methodological terms, this thesis also aims to contribute to the ongoing development of an empirical, descriptive form of translation research that looks upon translations as they are in fact and not as they ought to be. This type of translation description is relevant and useful for translation theorists and practitioners, but very especially for translation teaching, where prescriptive linguistically-oriented approaches have until recently dominated over cultural ones.

Indeed, it is generally assumed in the descriptive branch of translation studies that an accumulation of empirical, culturally-oriented case studies will lead to a sharper awareness of translation as a process of intercultural communication, and this eventually will lead to the production of better translations. So for instance, the findings of this investigation may help practising translators who routinely find themselves confronted by translational problems of an intertextual nature during the translation of literary texts. From these findings, they may obtain pointers as to how to approach certain text aspects, what particularities and priorities they should consider in relation to genre and other kinds of intertextuality, and what can be the textual effects of different translation solutions and overall strategies applied to the same intertextually-conditioned translation problem. In other words, it is hoped that the findings may help them to reflect on their own translation practice and on how to carry out the translation process for better results that are more attuned to target culture readers.

This investigation, however, is not without its limitations. Most critically perhaps, it must be reiterated that although single, focused studies such as this one may be of a certain interest and value, ultimately they need to be ratified by an aggregation of similar case-studies arriving at similar conclusions. Many other empirical,
descriptive case-studies are needed in order to make the findings representative. Together with this comes the acknowledgement that the study of only a handful of translations done by three different translators does not yield sufficient evidence to outline the framework of existing socio-literary and translational norms (initial, matricial or text-linguistic) that may have influenced their behaviour. In this respect, general tendencies can be suggested, but without a broader investigation of other Spanish translations of Lodge’s campus novels, or of other writers’ campus novels, or other works of general fiction, the three translators’ behaviour remains the result of personal choices which may be norm-directed, or simply a matter of personal or contextual preferences. In this case again, assembling a large enough body of research would allow translation scholars to infer the underlying norms that are or were current in the translating community at any point in time. In turn, this could open the way to a reflection on the translation process, and on potential new ways of translating.

Thus, there are areas that remain open to substantial work and further research, both by translation scholars and by translators themselves. Specific intertextuality, with its explicitness within the text and its markedly culture-bound character, has usually elicited more attention from translation scholars (as is evident from this and similar studies) and from translators in their day-to-day work. Architextual traits are still among the least privileged elements to be taken into account by these two groups, as if the relative overlap between Western European literatures in terms of the major genres at least, were enough to guarantee full understanding of the generic elements and underlying assumptions of any text.⁶⁶ As I have demonstrated with this investigation, a straightforward, ideal correspondence between source literature and target literature genres, even between Western literatures, cannot always be

⁶⁶ I am referring mainly here to prose fiction. In poetry and drama translation it is much more common for genre to be a major component influencing translation decisions.
presumed, particularly with highly culture-bound subgenres, such as the British academic novel. And as a consequence, the lack of attention to genre during the translation process entails the risk of a misunderstanding on the part of the readers, particularly where genre qualities—especially literary and pseudo-generic references—constitute meaning-producing devices in the text.

Further research is therefore needed in order to expose the mechanisms by which genre participates in the meaning of a text, and how these mechanisms can be recreated or transformed in translation. Readers’ responses to genres, and to what extent genre can shape such responses, must also be the object of further study. Simultaneously, the current growth of case-studies concerning one author’s or text’s influence on another and how this is dealt with in translation must continue, in order to contribute to the expansion of knowledge about the translation of specific intertextuality. As I argued earlier, as more descriptive studies are performed, the growth of the corpus of empirical data on translations will outline a more perfected synchronic and diachronic picture of translation and of the norms and other constraints that play a part in the translation process.

To conclude, I would like to state that all this investigative effort should eventually turn to practical application by opening up spaces of reflection for all those who are involved in the practice, teaching, or study of translation. In this sense, I would like to argue that increased attention to the intertextual constituents of a source text on the part of the translators will generally lead to better-balanced, more coherent target texts, and to an enhanced awareness in the target culture to these texts as part of an established tradition. This change could in turn promote the translation of other companion texts belonging to the same genre or subgenre, both by the key figures in that tradition and by lesser-known writers, thus contributing to the
enrichment of the literary system of the receptor culture. Hypothetically speaking, the consolidation of a new genre or subgenre in translation could eventually bring innovation into the target culture literary system, with new target-language works being written following similar generic patterns. Ultimately, the labour of a careful, reflective literary translator will not only provide target readers with a text to delight and gratify, but also, potentially, with an enhanced literary sensitivity and curiosity. This, and the prospective literary creativity that may derive from the process of literary cross-fertilisation, must be regarded as most desirable long-term effects of an immediate, context-bound process such as translation.
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