

欧 荣 ⊙ 著

The Motif of Crisis

in David Lodge's Fiction

**戴维·洛奇作品中的
“危机”母题研究**



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序

我和本书作者欧荣认识是在 2003 年的暑假。当时,她在旁听我给研究生开设的现代英美文学课。她的勤奋好学、积极发言给我留下了深刻的印象。2004 年 9 月,她考入上海外国语大学攻读博士学位,在我的指导下研读英美现代文学。通过三年的刻苦学习,她逐步具备了良好的人文素质、扎实的中英文功底和坚实的文学理论基础。在我们的交流中,我发现她阅读广泛,善于思考,潜心英美文学的教学和研究工作,是一位优秀的青年学者。

戴维·洛奇(1935—)是英国当代著名的小说家兼批评家。他的小说幽默风趣,被翻译成 20 多种语言在全球出版,广受好评。他的小说批评理论作品通俗易懂,语言流畅,很受研究文学的高校教师和研究生的欢迎。对他的系统研究有助于我们了解英国战后小说创作和小说批评理论的历史和发展趋势,有助于我国的当代英国小说研究走向深入。作者在《戴维·洛奇作品中的“危机”母题研究》一书中论述了英国作家戴维·洛奇的主要作品中蕴含的危机意识及其代表的文化意义,选题具有独创性。其创新之处主要有三点:一、从思想意识的高度以“危机”母题为主线,对洛奇的宗教小说和学院小说做出综合研究;二、从宗教危机、文学危机、文学理论危机和高等教育危机四个方面展开论述,指出危机意识是洛奇创作的出发点,是决定其作品的对话性、复调性、狂欢化艺术形式的思想动因;三、将“危机”母题串联起来进行阐释和解读,进而探究现代西方文化危机的根源以及各种危机之间的相互关联。本书构思新颖,主题鲜明,理论引述和文本举证结合紧密,体现了较宽的学术视野和较好的著述能力。

本书是作者的国家社科基金项目“英国作家戴维·洛奇研究”的先期成果之一,得到了上海外语教育出版社的有力资助。作为作者的导师,在本书即将问世之际欣慰之情自不待言。谨向有关人士致以谢意,并希望作者再接再厉,在学术上多有建树!

李维屏

2008.3.26 于上海

前言

作为一位有着国际影响的英国当代著名学者，戴维·洛奇（1935— ）集多种身份于一身。出生于天主教家庭并一直关注天主教改革的洛奇是一个自觉意识很强的小说家，也是位学院派批评家和执教多年的高校教师。他的小说创作代表了当代英国文学界中新现实主义小说的创作趋势，他的小说批评理论体现了英国小说批评对新批评、结构主义及巴赫金小说批评理论的借鉴和创新，对他的系统研究有助于我们了解英国战后小说创作和小说批评理论的历史和发展趋势，有助于我国的当代英国小说研究走向深入。

我对戴维·洛奇的了解是从他的小说批评理论开始的。在准备博士入学考试的时候，我研读了他的《现代写作模式》、《结构主义研究》等著述。我发现他的批评著作通俗易懂，文笔流畅，读来甚是享受，不像大多数的文学批评那样晦涩难懂。后来读他的小说，一下子就折服于他诙谐的语言、巧妙的构思、有趣的情节和新颖的叙事方式。但读得越多越感觉到他的小说并不仅是娱乐而已。读完洛奇的七八部代表作品后，我发现洛奇主要关注两大类题材：天主教生活和学者生活，他的小说也可大致分为宗教小说和学者小说两大类。细读文本的过程中，有些疑问逐渐浮现在我的脑海中：为什么他的天主教小说常常聚焦天主教生育政策和已婚天主教徒的婚姻生活中的矛盾？为什么节育对现代天主教会来说是个敏感的话题？宗教生活和学者生活之间有什么联系？洛奇的天主教小说和他的学者小说之间有着怎样的联系？带着这些问题，我开始查找相关研究资料，希望能找到上述问题的答案。

20世纪80年代以来国内外的洛奇研究方兴未艾。通过对国内外洛奇研究资料的收集、整理和归类，我发现我的很多疑问并没有得到解答，洛奇研究的重心明显失衡。学者们大多关注洛奇的学院小说三部曲而较少涉及其宗教小说；从其作品的对话性、复调、戏拟、狂欢化、互文性等角度进行的形式分析多于对作品主题意义的挖掘；对其作品蕴含的危机意识及其代表的文化意义认识不足，更缺乏从思想意识的高度把他的宗教小说和学院小说相结合的主题研究。与导师多次商讨后，我决定把对洛奇作品的主题研究作为我博士论文的选题。之后

我花了近两年的时间撰写论文,进而在博士论文的基础上完成此书。

针对国内外洛奇研究的弱点和盲点,本书以贯穿其创作的“危机”母题为主线,结合洛奇四部代表性作品分析其天主教小说中涉及的宗教危机,学院小说中体现的文学危机、文学理论危机和高等教育危机,挖掘作品的主题意义,阐释作品的对话性、复调性、狂欢化艺术形式后的思想动因,以及洛奇对危机问题所持的“双重意识”。解读洛奇作品中的“危机”母题,有助于理解现代西方文化危机的根源以及各种危机之间的相互关联,也有助于认识和应对我们在现代化和全球化进程中出现的类似问题。

20 世纪的西方社会危机四伏。危机感是许多现代小说的基本主题,更是贯穿所有洛奇作品的基本母题。基督教与古希腊罗马文化并称为西方文明的源泉和支柱,是西方文化的重要组成部分,是西方人世界观、道德观和价值观的基础。然而现代科技的飞速发展,尤其是六七十年代的反文化运动和享乐主义的风潮引发了西方社会普遍的宗教危机,从根本上改变了西方人的人生观和价值观。作为天主教徒的戴维·洛奇更是深切感受到由第二次梵蒂冈会议(1962—1965)为导火索的天主教世界的动荡,并把他的关注和思考投入其作品中。随着文化生活中宗教地位的衰落,西方学者曾力图以文艺对人生意义的重新解说来取代宗教对社会的维系和聚敛功能,填补宗教冲动力耗散之后留下的精神空白。然而现代资本主义文化领域中文艺危机与宗教危机紧密相随。作为一位热爱创作的小说家和批评家,洛奇自然对文学的危机充满忧虑,对文学批评界兴起的“理论热”及文学批评的极端发展极为关注。此外,作为一位有着 27 年教龄的高校教师,洛奇对战后英国高等教育的兴衰感同身受,并把他对高校教育的观察与思考融入作品中。

本书共分六个部分。引语部分先对国内外的洛奇研究进行了一番梳理,指出洛奇研究的弱点和盲点,然后介绍论文的选题、研究范围、研究方法和主要内容。第一至第四章作为著述的核心部分,分别从宗教危机、文学危机、文学理论危机和英国高等教育危机四个方面对洛奇小说的“危机”母题进行层层分析。

第一章以《你能走多远?》为例,探讨洛奇小说中的宗教危机即天主教“危机”母题。本章首先回顾了 20 世纪下半叶以第二次梵蒂冈会议为转折点的天主教改革及其影响,然后结合文本分析《你能走多远?》中作为个体的天主教徒对这一重大事件的反应,从而折射出“梵二”会议引发的宗教危机和信仰危机。洛奇的宗教小说没有突出灵与肉、善与恶、罪与救赎等常见的宗教主题,而是以教会的节育政策与教

徒的婚姻生活之间的冲突为出发点,进而对一些根本性的天主教信仰进行更严肃的思考和质疑。小说反映了20世纪50年代至70年代天主教世界的沧桑巨变,再现了宗教信仰与现实生活的冲突、“梵二”会议对天主教的影响、天主教徒在“后梵二时代”的焦虑和困惑以及寻找“新宗教”的努力。洛奇的“宗教危机”小说凸显了当代西方人宗教信仰及价值观的变化,能帮助我们更深刻地理解西方现代文明危机的根源和影响。小说叙事者既身居其内又置身其外的口吻巧妙地暗示了洛奇作为一名“不可知论的天主教徒”的宗教立场。

第二章以《换位》为蓝本,解读洛奇作品中的文学危机即小说“危机”母题。宗教的衰落伴随着权威的丧失、体制的解体和传统的流失。文学和艺术逐渐被赋予宗教对社会的维系和凝聚功能,人们企望从文学艺术中寻求人生意义,填补宗教信仰缺失所造成的精神空白。但上帝死了,文艺之神又焉能稳如磐石?文艺危机伴随着宗教危机。作为小说家的洛奇更关注由于影视媒体的兴起以及小说自身的发展给小说创作带来的挑战。在《换位》中,洛奇以“元小说”的艺术手法表现了现实主义的困境、现代主义的枯竭以及如何写小说的困惑,并用自身的小说实践和小说成就为徘徊在“十字路口”的当代小说家指明了方向。

第三章以《小世界》为蓝本,分析洛奇作品中蕴含的文学批评的“危机”母题。作为一位多产的小说家和敏锐的批评家,洛奇一直试图在小说创作和小说批评间取得某种平衡。但随着现代文学理论的极端发展,这种平衡越来越难以维持。《小世界》作为洛奇学院小说三部曲中最有影响力的一部,在嬉笑怒骂中反映了五花八门的文学理论对文学研究的“狂轰滥炸”,文学批评从价值判断和追求真理转向了无意义的智力游戏,兢兢业业、安贫乐道的学者变成了寻欢作乐、纵横四海的浪子。长此以往,文学批评将走向何方?作为批评家的洛奇提倡“批评的多元化”,但反对文学批评的极端理论化和抽象化,强调寻求价值判断和道德意义的人文主义和揭示小说艺术的形式主义批评的统一。对待文学理论洛奇采取“拿来主义”。在他看来,文学理论存在的理由是有助于阐释文本。因此当文学理论发展到试图取代文本,试图用晦暗不明的术语吞噬文本时,洛奇的反应只能是“敬而远之”了。

第四章以《美好的工作》为范本,探讨洛奇作品中蕴含的高等教育“危机”母题。洛奇在伯明翰大学执教多年,亲身经历了20世纪60年代罗宾斯报告带来的英国高等教育的繁荣和80年代经济萧条和“撒切尔主义”影响下的英国高等教育的衰落。因此,高教危机也是洛奇的学院小说中一个反复出现的母题。《美好的工作》以1986年撒切尔

政府命名的“工业年”为时代背景;从校园内外两个不同人物的视角,艺术地再现了经济危机和商业化对高等教育的影响,反映了教育人才的流失及人文教育的边缘化等问题。

结语部分对全书进行了总结并借助几位社会学家的思想分析了西方现代社会文化危机的根源和危机间的关联。基督教曾经为西方人提供认识世界的尺度。宗教地位衰落后,文艺就成为现代人寻求生存意义的“世俗宗教”,文艺批评就是阐释“世俗宗教”的“世俗神学”,而高校则成为研究“世俗神学”、寻求真理的“殿堂”。圣经有云:太初有道,道与神在,神就是道。道即语言(Word),上帝用语言创造世界,对上帝的质疑导致对语言的怀疑,而语言是文学之所在。因此说,神的消失,既令世界失掉尺度,又模糊了人类生存的意义,乃是西方文化危机的根本缘由。

洛奇的小说创作以艺术的形式充分展示了以冲突和对立为特征的现代社会的重重危机:宗教信仰与享乐主义、文学传统与创新、人文主义与解构主义、“象牙塔”与工业社会。双重/二元结构一向是洛奇的偏爱,但决定这种艺术形式的是贯穿其作品的“危机”母题,是洛奇面对危机时试图保持的“双重意识”和“矛盾身份”。上帝死了,但不意味着我们不需要信仰,因此洛奇自称为“不可知论的天主教徒”;对于处在“十字路口”的当代小说创作,洛奇坚信“枯竭的文学”也是“再生的文学”;面对五花八门的文学理论,批评家洛奇的选择是人文主义和形式主义批评的统一;高等教育一方面要走出象牙塔,适应社会和市场的需求,但同时还要警惕商业化的侵蚀,保持自己的相对独立性和社会责任感,这是洛奇作为教育者兼旁观者的思考。总之,面对危机和冲突,洛奇的应对之策是折中、平衡、妥协和“只有沟通!”;面对改革和创新的冲动,洛奇的忠告是:你可以走得很远,但更要不断地反思:How far can you go?

在本书撰写的过程中,我得到了许多老师和朋友的帮助。我要感谢我的导师李维屏教授始终不懈的指导和关心,感谢虞建华教授、张定铨教授和史志康教授精彩的授课,感谢殷企平教授、翟象俊教授和张和龙教授提供宝贵的资料,感谢朱建新、赵莉华和张宝国老师无私的帮助,感谢我的领导董俊峰教授一贯的支持,感谢上外的同窗好友热情的鼓励,感谢所有本书中参考和引用到的洛奇的研究者,感谢我的父母、爱人和宝贝儿子,他们的爱护与关心是支持我写作的最大动力。

本书是作者的国家社科基金项目“英国作家戴维·洛奇研究”的先期成果之一,得到了上海外语教育出版社的有力资助。在此向国家

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由于本人学识有限,疏漏之处,祈望学者和读者不吝赐教。

欧荣

2008 年 3 月

于宁波常青藤

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Introduction

David Lodge (1935 –) is a distinguished contemporary British novelist as well as a critic. Drawing on a particularly English tradition of satirical wit, embodied by his heroes Evelyn Waugh and Kingsley Amis, Lodge writes sharp, amiable farces about bemused British scholars and their difficulties with sex. He is often associated with his friend, Malcolm Bradbury, because the two men have both chosen to combine academic and literary careers, opting to work full-time in universities while also writing their popular “campus novels.” However, Lodge is held in higher esteem by most British and American critics, and his novels continue to sell in large quantities. Among Chinese readers, Lodge is more popular than Bradbury, as his *Small World* is often ranked with Qian Zhongshu’s *Fortress Besieged*. With his unique humor and satire, Lodge has fictionalized his grave concerns about modern civilization marked by constant crises. This dissertation is to explore the motif of crisis in his representative works. The subject is chosen on the basis of a comprehensive survey of critical studies on Lodge’s fiction both at home and abroad.

I. A Critical Survey of David Lodge Scholarship at Home and Abroad

As to the studies of Lodge’s works abroad, through the search of EBSCO, JSTOR, PQDD and Literature Online, over 80 articles and 11

monographs have been found related to the study of Lodge's writing. Nevertheless, the greater part of critical pieces deals with literary-theoretical aspects of Lodge's writing, arguing whether Lodge's fiction belongs to the realist, the modernist or the postmodernist mode. Some critics hold that Lodge's fiction is antimodernist (in Lodge's term) and therefore lags behind his criticism which displays a theoretical interest in the modernist and postmodernist texts (e.g., Honan, Widdowson). According to the opposite view, time and again there have been features in Lodge's work which cannot be comfortably categorized as realism (e.g., D'haen, Burden), while there are also scholars acclaiming Lodge's synthesis of prevalent tradition and narrative inventiveness (e.g., Stevenson, Ommundsen). Other secondary materials consist mostly of reviews, articles and essays devoted to one facet or another in either his fiction or his criticism, lacking systematic examination of Lodge's writing.

Of 11 monographs devoted to the academic study of Lodge's writing, three make overall appraisals on most of Lodge's fiction and criticism, such as Merritt Moseley's *David Lodge: How Far Can You Go?* (1991), Bernard Bergonzi's *David Lodge* (1995) and Bruce K. Martin's *David Lodge* (1999). The remaining monographs all focus on the study of his campus fiction, four of which have engaged in textual and formalist analysis. In *The Dialogic Novels of Malcolm Bradbury and David Lodge* (1989), the first book-length study of Bradbury and Lodge, Rebert A. Morace applies Mikhail Bakhtin's theory of fiction to reveal the dialogism of their novels. Daniel Ammann elaborates on the intertextuality of Lodge's campus fiction in *David Lodge and the Art-and-Reality Novel* (1991). Barbara Arizti Martin, a Spanish scholar, delves into a carnivalesque variety of styles and metafictional practices deployed by Lodge in *Changing Places* in her doctoral dissertation (1994). Similarly, Mark S. Macleod's study focuses on the fusion of metafiction to realism through the reading of four British novels, one of which is *Small World* by David Lodge.

Other monographs, though with due attention to the thematic

significance of Lodge's fiction, take the sample of only Lodge's campus fiction. Eva L. Björk, a Swedish scholar, through the discussion of Lodge's three novels — *The British Museum Is Falling Down*, *Changing Places* and *Nice Work*, intends to argue that although Lodge invites a Bakhtinian reading of his novels, his study demonstrates that "his fiction, allegedly both dialogical and carnivalesque, to a large extent advocates an apology that is diametrically opposed to such an activity," and "most of Lodge's texts remain one-dimensional portrayals of irrelevant campus clowns" (Abstract). Neill Johnson scrutinizes the postwar British comic writers' efforts (including Kingsley Amis, Malcolm Bradbury and David Lodge, among others) to challenge and reshape the "mainstream," with the use of humor to rescue the novel from what they considered a failed Modernist experiment. Kenneth Womack, an associate professor of English at Pennsylvania State University, devotes a chapter in his study of postwar academic fiction to explore the ways in which the scholarly characters in David Lodge's trilogy of academic novels remain unable to balance their desires for institutional success with their instinctive needs for romantic fulfillment. Leslie Arin Murphy's MA thesis examines the effects of the Conservative Thatcher government upon the portrayal of the past and the use of nostalgia in academic novels of the period by tracing the use of nostalgia in Graham Swift's *Waterland*, A. S. Byatt's *Possession*, and David Lodge's *Nice Work*.

Judging from the survey, the author of this dissertation believes that fewer scholars abroad have made thematic studies on Lodge's fiction; even if they do, they are mainly concerned with either his campus novels or religious novels, but seldom both. Bergonzi is quite early to have noted Lodge's Catholic concerns and examined the development of British Catholic novels in his essay "A Conspicuous Absentee: The Decline and Fall of the Catholic Novels" (1980). Marian E. Crowe presents the most sustaining and probing analysis of Catholicism in Lodge's *Paradise News*. Jean-Michel Rabate demonstrates Lodge's anxiety over the decline of novel writing in his essay "La 'fin du

roman' et les fins des romans." John Schellenberger's essay "University Fiction and the University Crisis" touches upon the crisis of British higher education. However, there are no systematic thematic studies on both Lodge's Catholic novels and campus novels, none capturing the motif of crisis that recurs in all of Lodge's fiction.

Critical studies on Lodge's works at home are similarly unbalanced in orientation and more limited in scope. The author of this dissertation has issued an article with a critical survey of Lodge scholarship in China (欧荣 53), according to which, from 1991 to 2007, there have been 39 articles on David Lodge's fiction or criticism issued in Chinese newspapers and journals, four books devoting specific chapters to David Lodge and five MA theses and one doctoral dissertation making the elaborate studies on Lodge. Apart from what is covered in that article, the author of the dissertation has collected other resources relevant to the study of Lodge's works written by Chinese scholars. The overall survey is illustrated in Appendix 1 (cf. p. 14). The statistics demonstrate that literary criticism of Lodge's fiction up to this point has been mostly focusing on his campus novels. Of 38 articles and essays devoted to one facet or other in Lodge's fiction, 30 are about his campus novels, amounting to about 70% of the total, a majority of which approach Lodge's campus fiction from formalist and rhetorical perspectives. Only a few articles attend to the thematic significance of either Lodge's campus novels or his Catholic novels: Song Yanfang noticed Lodge's ambivalence towards the experimentation of literature and explosion of literary theory (宋艳芳 2003) and his courage to face "the death of novel" along with Bradbury and A. S. Byatt (宋艳芳 2004); Ding Zhaoguo noted Lodge's consistent concerns over the modern transformation of Catholicism (丁兆国, "天主教小说"), Zhang Yang elaborated on the Catholic reformation along with "the conflict between soul and desire" in Lodge's Catholic novels (张扬 2006), Tong Yanping examined the coexistence of doubt and hope in *Paradise News* (童燕萍 2000) and Luo Yirong expounded the tradition of "Condition of England" novel and conflict between university and industry in *Nice*

Work (罗貽荣 2002), but none of them has related Lodge's Catholic novels to his campus fiction with the discussion of Lodge's pervasive awareness of crisis.

Of six books relevant to the study of David Lodge, *Contemporary British Novel* edited by Qu Shijing and *A Critical Survey of Postwar British Fiction* written by Zhang Helong both devote a chapter to make a general introduction to Lodge's fiction and criticism (瞿世镜 1998, 张和龙 2005). Ma Lin's *Academic Novelists in Postmodernism* also has one chapter to cover both Lodge's creative writing and his literary criticism in which the author has noted Lodge's distinctive interests in the Catholic life and the academic life (马凌 2004). Yin Qiping, Gao Fen and Tong Yanping's book spares a specific chapter to summarize Lodge's major critical positions (殷企平等 2001), while Hou Weirui and Li Weiping focus on the discussion of Lodge's fiction in which the crisis of higher education in *Nice Work* is briefly touched upon (侯维瑞、李维屏 769). Ruan Wei gets one chapter to analyze the image of the intellectuals in some British novels including Robyn Penrose in Lodge's *Nice Work* (阮炜, 2001).

As to six theses devoted to Lodge's study, all of them mainly engage in the theoretical and formalist analysis. In his MA thesis "Strategies of Interpreting *Small World*," Ma Xiaoming applies Jacobson's distinction between metaphor and metonymy to *Small World*, thus classifying *Small World* as "a mixture of realism, modernism and postmodernism simultaneously, but with realism as the dominant element" (马晓明 abstract). By analyzing the implications of "parody and polyphony" in Lodge's trilogy, Ding Zhaoguo argues that Lodge's literary creation belongs to the realm of neo-realism, for it "both inherits the great tradition of realism and absorbs some new technical innovations of experimentalism" (丁兆国 abstract). In a similar manner, Yu Ying's analysis of Lodge's *Small World* concludes that the novel is a realistic text with the veil of postmodernistic characteristics (虞颖 2004). Wang Juli's doctoral dissertation explores "the motif of quest, spatiality and intertextuality" in Lodge's campus trilogy with the conclusion that "the

paradoxical dialogue between the realistic structuration and the experimental deconstruction actually functions as the overall texture of Lodge's campus novels" (王菊丽 2005). Wu Qinhua presents the only thesis that analyses both Lodge's literary theory and his creative writing, and points out the consistencies and discrepancies between the two practices (吴琴华 2006). Song Yanfang's thesis is the only one that has highlighted Lodge's great concern with literary experimentation and the development of literary theory, but the orientation is on the study of "theoretical fiction" of his campus trilogy (宋艳芳 2002).

Judging from the whole survey, it is interesting for us to note that although most scholars have agreed that Lodge is more a realist than a postmodernist, a great number of studies are oriented on the textual and formal analysis of his works, seldom capturing his reflections on the religious and cultural conditions in contemporary Western society. Many scholars have noted Lodge's preference for binary structure, parody, pastiche, and the dominant features of polyphony, dialogism and carnival spirit in his fiction, but most of them have failed to seek the ideological reasons for Lodge's paradoxical attitude in constructing his fiction with these artistic forms.

Some reasons are to be speculated. First, Lodge has more than once declared his "interest in formalist rather than in ideological criticism" (WWS x). Through *The Language of Fiction* to *After Bakhtin*, all his criticism can be classified into formalist category, which focuses on the exploration of the interior problems of literature such as form, system and structure, and puts aesthetical form and techniques prior to content, without paying special attention to the exterior problems of literature such as reality, society, nature, time, history or morality. Besides, in *The Art of Fiction* and the preface to *Small World*, David Lodge seemingly put forward some ideas to indulge himself in maintaining the artificiality of the novel and playfulness of writing. And in 1991, David Lodge produced a short play entitled *Writing Game: A Comedy* with the implication of writing as a game, which won immediate success upon the performance. All these running jokes are likely to result in a false