**Declaration of originality**

This thesis and the work to which it refers are the results of my own efforts. Any ideas, data, images or text resulting from the work of others (whether published or unpublished) are fully identified as such within the work and attributed to their originator in the text, bibliography or in footnotes. This thesis has not been submitted in whole or in part for any other academic degree or professional qualification. I agree that the University has the right to submit my work to the plagiarism detection service TurnitinUK for originality checks. Whether or not drafts have been so-assessed, the University reserves the right to require an electronic version of the final document (as submitted) for assessment as above.

Signature:  **Katerina Perdikaki**

Date:  **21/11/2016**
Abstract

Narratives are increasingly intermedial nowadays and adaptation is prominent in the performing arts (e.g. theatre, opera) and in various forms of media (e.g. film, television, radio, video games). The process of adaptation has been paralleled to that of translation, as both deal with the transfer of meaning from one sociocultural context to another. In a similar vein, translation has been viewed as a process of adaptation when the communicated message needs to be tailored to the values of the target culture. Nevertheless, a framework building on the affinities of translation and adaptation remains relatively under-researched.

A model for a systematic adaptation analysis seems to be currently missing in Adaptation Studies. Translation Studies can also benefit from a closer look into the workings of cultural production. An analysis of adaptation as intersemiotic and intermedial translation can give rise to the factors that condition the flow of narratives across media and cultures. Such an analysis can also shed light on the relationship between cultural products and the socio-temporal context that accommodates them.

To this end, the present project aims at examining the film adaptation process from a hermeneutic point of view, looking into both textual and contextual parameters that monitor the adaptation process. A model towards the systematic analysis and interpretation of the changes occurring in the adaptation process (i.e. adaptation shifts) is also developed to fulfil this aim. The model draws upon insights from Translation Studies, Film Studies and Narratology and has a descriptive/comparative and an interpretive component. The former is used to examine adaptation as an audiovisual text in relation to its source material and the latter deconstructs the adaptation process in relation to the agents and contexts involved. The model can thus contribute to a systematic study of adaptations and to a better understanding of the adaptation/translation process.
Acknowledgements

To say that this project would have been impossible without the help and support of certain people would be an understatement. I was fortunate to have by my side people with whom I frequently shared my worries, writer’s blocks and discoveries throughout this PhD journey / learning and exploring experience / process of growing. A few lines cannot be enough to express my gratitude, but I will do my best to cover the basics.

I would like to express my deepest gratitude to my supervisors Professor Sabine Braun and Dr Dimitris Asimakoulas for making the time and having the patience to talk me through all the steps and stages of academic and personal development. For going over my writing with a fine-tooth comb and providing informed and comprehensive feedback. For engaging in long-winded discussions on translation, literature, films and all the in-between. For being not just supervisors, but teachers, mentors and advisers.

I would also like to thank Dr Elena Davitti and Dr Louisa Desilla who were always available and willing to offer their invaluable advice during my first teaching experience.

Special thanks to my fellow PhD comrades who have been a source of inspiration, a chance for motivation and the place to vent the occasional frustration. Our endless conversations have given me perspective and insight and I am proud to call you my friends.

Last but definitely not least, I would like to thank my parents whose love, encouragement and advice have guided me through life and have enabled me to achieve goals that seemed far-reached. Their continuous moral and material support has made possible the completion of this project and for all they have given me I cannot be thankful enough.
# Table of contents

Abstract ........................................................................................................................................... 3
Acknowledgements .......................................................................................................................... 4
List of tables .................................................................................................................................... 7
List of images ................................................................................................................................... 8
List of figures ................................................................................................................................... 8

1. Introduction ................................................................................................................................pré
2. Parallel lives: adaptation and translation ................................................................................. 16
   2.1. So close yet so far .................................................................................................................. 16
   2.2. Theories of adaptation ......................................................................................................... 17
      2.2.1. Setting the scene .......................................................................................................... 18
      2.2.2. The fidelity debate: the rise and fall of an Adaptation Studies ‘villain’ ...................... 21
      2.2.3. Relations intertwined: the ‘deus ex machina’ of adaptation ....................................... 28
      2.2.4. Reinterpretation and recontextualisation: the ‘climax’ of adaptation theories .......... 33
      2.2.5. Adaptation, recontextualisation, communication: the ‘denouement’ ......................... 36
   2.3. In a polysystem (not so) far away .......................................................................................... 38
      2.3.1. And then there was the film industry ........................................................................... 39
      2.3.2. The literary, the cinematic and the patrons ................................................................. 41
   2.4. Cut to the present (project): adopting a hermeneutic approach towards adaptation ........ 45
3. Methodology .................................................................................................................................. 51
   3.1. Aim and Research Questions .............................................................................................. 51
   3.2. Research material ................................................................................................................. 53
      3.2.1. The film adaptations ...................................................................................................... 54
      3.2.2. The paratexts ................................................................................................................. 60
   3.3. Analytical Framework ......................................................................................................... 69
   3.4. The descriptive/comparative component of the adaptation model .................................... 72
      3.4.1. Categories of adaptation shifts ...................................................................................... 73
      3.4.2. Types of adaptation shifts ............................................................................................... 76
   3.5. The interpretive component of the adaptation model .......................................................... 82
   3.6. Procedure for data collection and analysis ......................................................................... 84
4. Identifying the adaptation shifts across the data ......................................................................... 95
   4.1. Overview of shifts per film adaptation .................................................................................. 95
   4.2. Analysis of shifts within descriptive categories ................................................................. 97
      4.2.1. Plot structure .................................................................................................................. 97
      4.2.2. Narrative techniques ..................................................................................................... 115
      4.2.3. Characterisation ............................................................................................................ 129
      4.2.4. Setting ........................................................................................................................... 141
5. From shift analysis to shift patterns ................................................................. 154
  5.1. Plot structure ................................................................................................. 154
  5.2. Narrative techniques .................................................................................. 160
  5.3. Characterisation .......................................................................................... 164
  5.4. Setting ........................................................................................................... 171
6. Discussion ......................................................................................................... 179
  6.1. Fleshing out the links between the identified adaptation shifts ................... 179
  6.2. Deconstructing the adaptation shifts ......................................................... 191
  6.3. Adaptation tools made in Translation Studies: evaluating the adaptation model ................................................. 196
7. Concluding remarks ............................................................................................ 200

References ............................................................................................................. 208
  Primary sources .................................................................................................... 217
  Filmography ........................................................................................................ 228

Appendices ............................................................................................................. 229
  Appendix 1: “Girl from the North Country” – Silver Linings Playbook (Russell 2012) ........ 229
  Appendix 2: “100$ Bill” – The Great Gatsby (Luhrmann 2013) ........................................ 230
  Appendix 3: “Over the love” – The Great Gatsby (Luhrmann 2013) ................................. 232
  Appendix 4: DVD and book covers ...................................................................... 234
  Appendix 5: Gross income of the film adaptations of the corpus ....................... 239
List of tables

Table 1: The source novels and adaptations of the corpus .......................................................... 54
Table 2: Paratexts per source novel-adaptation pair .................................................................. 68
Table 3: Adaptation shifts across the corpus .............................................................................. 97
Table 4: Plot structure shifts across the corpus ......................................................................... 98
Table 5: Plot structure adaptation shifts in *P.S. I Love You* ..................................................... 100
Table 6: Plot structure adaptation shifts in *The Notebook* ....................................................... 103
Table 7: Plot structure adaptation shifts in *Silver Linings Playbook* ....................................... 105
Table 8: Plot structure adaptation shifts in *The Devil Wears Prada* ......................................... 108
Table 9: Plot structure adaptation shifts in the two film versions of *The Great Gatsby* ....... 113
Table 10: Narrative techniques shifts across the corpus ............................................................. 115
Table 11: Narrative techniques adaptation shifts in *P.S. I Love You* ....................................... 117
Table 12: Narrative techniques adaptation shifts in *The Notebook* ........................................ 121
Table 13: Narrative techniques adaptation shifts in *Silver Linings Playbook* ......................... 123
Table 14: Narrative techniques adaptation shifts in *The Devil Wears Prada* ......................... 126
Table 15: Narrative techniques adaptation shifts in the two film versions of *The Great Gatsby* .. 128
Table 16: Characterisation shifts across the corpus .................................................................... 129
Table 17: Characterisation adaptation shifts in *P.S. I Love You* .............................................. 132
Table 18: Characterisation adaptation shifts in *The Notebook* ............................................... 134
Table 19: Characterisation adaptation shifts in *Silver Linings Playbook* ................................. 136
Table 20: Characterisation adaptation shifts in *The Devil Wears Prada* ................................. 139
Table 21: Characterisation adaptation shifts in the two film versions of *The Great Gatsby* ..... 141
Table 22: Setting shifts across the corpus .................................................................................... 142
Table 23: Setting adaptation shifts in *P.S. I Love You* ............................................................. 143
Table 24: Setting adaptation shifts in *The Notebook* ............................................................... 145
Table 25: Setting adaptation shifts in *Silver Linings Playbook* ............................................... 147
Table 26: Setting adaptation shifts in *The Devil Wears Prada* .................................................. 148
Table 27: Setting adaptation shifts in the two film versions of *The Great Gatsby* .................... 151
Table 28: Plot structure shifts across the corpus ........................................................................ 154
Table 29: Narrative techniques shifts across the corpus ............................................................ 160
Table 30: Characterisation shifts across the corpus .................................................................... 164
Table 31: Setting shifts across the corpus ................................................................................... 171
Table 32: Overview of descriptive categories and shift types .................................................... 180
List of images

Image 1: Screenshot from the analysis of *The Notebook* in Transana……………………………………. 86
Image 2: Clips and collection in Transana ................................................................................................... 87
Image 3: Clip tagging in Transana .............................................................................................................. 88
Image 4: Paratext analysis in Transana ...................................................................................................... 89
Image 5: Coding verbal paratexts in Transana ............................................................................................ 90
Image 6: Keyword groups and keywords in Transana .................................................................................. 91
Image 7: Gatsby’s confident introduction against Nick’s amazement .......................................................... 111
Image 8: Nick in Gatsby’s mansion after Gatsby’s death ............................................................................ 112
Image 9: First instance of temporal translocation ...................................................................................... 119
Image 10: Second instance of temporal translocation .............................................................................. 119
Image 11: Allie meets Noah after 7 years ................................................................................................... 119
Image 12: Miranda highlights the similarities between herself and Andy ................................................ 125
Image 13: Noah’s lunch with Allie’s family ................................................................................................. 144
Image 14: The advertisement in the 1974 film adaptation ...................................................................... 150
Image 15: The advertisement in the 2013 film adaptation ...................................................................... 151
Image 16: Florence Welch’s cameo as the red-haired singer ................................................................... 163
Image 17: The DVD cover of *The Notebook* ............................................................................................ 166
Image 18: The book cover of *The Notebook* ............................................................................................ 167

List of figures

Figure 1: Analysis of adaptation shifts…………………………………………………………………………… 93
Figure 2: Shift occurrences per film adaptation ......................................................................................... 182
Figure 3: Categories with the most shifts per film adaptation .................................................................. 183
Figure 4: Shift occurrences per descriptive category .............................................................................. 188
Figure 5: Dynamics between adaptation shifts, reasons and paratexts .................................................. 194
1. Introduction

Translation Studies has grown to be a largely interdisciplinary field of research and practice. The process of translation is usually understood as a transfer of meaning which encompasses various modalities and acts of representation and intercultural exchange. Throughout the many ‘turns’ of Translation Studies, translation has been examined from several perspectives. Insights from disciplines like Sociology, Psychology and Cultural Studies have all contributed to the multifaceted prism through which translation has been approached. The meaning-making process involved in translation has been seen as relying on a variety of resources, ranging from verbal and oral ones to a combination of audio-visual modes. Recent advancements in Translation Studies have shifted attention to models that can analyse such intersemiotic and multimodal texts (cf. Desilla 2012; Dicerto 2015; Littau 2011; Pérez-González 2014a).

Given the different forms that translation products can take, a common debate concerns the distinction (if any) between translation and adaptation. This has been particularly relevant in the case of Audiovisual Translation, due to the spatiotemporal restrictions involved (Díaz-Cintas and Remael 2007), as well as in the translation of advertisements (or transcreation), due to the intercultural considerations involved (Valdés 2011). According to Vandal-Sirois and Bastin (2012), adaptation can be posited as functional translation. Adaptation is all the more evident in localization projects which aim for an efficient multilingual and intercultural communication. Moreover, the term ‘adaptation’ has been used to describe a translation strategy used to render cultural references which may be obscure to the target audience (Vinay and Darbelnet 1958); similar applications of the term can be found in Audiovisual Translation as well (cf. Karamitroglou 1998; Nedergaard-Larsen 1993; Pedersen 2011).

The simile ‘translation as adaptation’ has often been used in order to examine the changes made in translation so as to address the needs and expectations of the target audience and culture. The reverse, ‘adaptation as translation’, has been deployed in a cognate field, i.e. Adaptation Studies, to refer to the changes made in literary works which are transposed to the big screen or the stage. Research in Adaptation Studies has also tried to delineate the definition of adaptation, examining both what is and what is not adaptation as well as the generic characteristics of the adaptation product (Leitch 2008; Cattrysse 2014). Definitions (or rather attempts thereof) often resort to the meaning of the term ‘adaptation’ in natural sciences (cf. Elliott 2012). Similarly to the ability to adjust to physical conditions for the purpose of survival,
adaptation as creative practice has been seen to adjust to the contemporary needs of cultural consumption.

Scholars in both Adaptation and Translation Studies have come to recognise commonalities between the processes of adaptation and translation. Similar questions of definition, equivalence and fidelity can be traced in both disciplines. Film adaptation has been considered as a genre in its own right and, in fact, as the defining genre of American film production (Leitch 2008). In a parallel line, translation has also been assigned several definitions which focus on different aspects of the process and the product; translation has been viewed as communication between languages and cultures (Hatim and Mason 1997), as rewriting (Lefevere 1992) and as recontextualisation (House 2006). Interestingly, in biology, translation also carries a meaning of transfer and genetic creation and can be complemented by adaptation as the adjustment to physiological circumstances which proliferates evolution. Parallel homologies can also be found in Translation Studies, where products of translation have been beset by the value-laden bias of faithfulness. As will be explained in Chapter 2, similar dichotomies can be found in both areas. The prevalent distinction between ‘original’ and ‘copy’ merges temporal succession and evaluative inferiority, granting a similarly secondary status to translation and to adaptation. During early research in adaptation and translation, the fidelity issue has fuelled an initial contrast between the transfer of the ‘word’ and the transfer of the ‘spirit’ leading to an intense preoccupation with this topic, given the early prescriptive approaches and the dominance of the meme of equivalence. Nevertheless, as research in both areas evolves, it appears to follow a similar text-centred to context-oriented route in both cases.

As a result, given that the two fields face similar issues, it can be assumed that ways to overcome these issues can also be common to both. Notably, adaptation and translation theorists have envisaged synergies between the two fields which can be beneficial to both sides. This can be so especially due to the complexity involved in the process of adaptation as well as translation. As will be argued in subsequent chapters, adaptation involves many agents and agendas which in turn influence the end product. Furthermore, adaptation does not deal merely with texts but with the complex meanings conveyed by texts in different contexts and to different target audiences. The same holds for translation, which encompasses processes broader than interlingual transfer; for example, localization and transcreation as two types of multimodal translation entail an adaptation of verbal and visual meaning-making resources to the values and needs of the target culture (cf. Bernal Merino 2006; Jiménez-Crespo 2013; Rike
Such multi-layered activities of translation/adaptation rely not only on the texts involved but on the sociocultural circumstances in which they take place and on the agents required at different stages for their completion. In both translation and adaptation, collaboration is pivotal and so is the deployment of different semiotic codes towards the communication of a message which is dependent on both textual and contextual factors.

However, despite the identified affinities between adaptation and translation, a unified framework which would bring together insights and tools from both fields seems to have remained under-researched. Research in Adaptation Studies has largely focused on isolated case studies of adaptations of mainly classic literature. Extensive work has been done with adaptations of Shakespeare’s, Jane Austen’s and Charles Dickens’ works. Such studies often dissect the texts in question in order to examine the transmutation of themes prominent in the source material. For instance, Lanier (2012) looks into the consummation of Othello’s jealousy on stage and on screen, Aragay and López (2005) approach notions of femininity and masculinity in adaptations of *Pride and Prejudice*, and Leitch (2007) examines the ways in which compassion is communicated in the many adaptations of *A Christmas Carol*. Alongside investigating the transfer of themes between source material and adaptation, early stages of adaptation study also looked into the meaning-making capacities of the book and the film. Such studies examined the differences between literature and film as media and as semiotic codes. The comparison frequently left film wanting and, by extension, adaptation not deemed worthy enough to measure up to the novel’s value. This phase of adaptation research often neglected the surrounding context and the people involved in adaptation.

Although attention has progressively shifted onto context, this tipped the balance on the other end; where emphasis has been placed on the film-making or publishing industry and the agents taking part in the adaptation project, text itself appears to have been overlooked. For example, Murray (2012) provides a comprehensive outlook on the stakeholders of the publishing industry, such as authors, their agents and editors, and on the marketing importance of book fairs and literary prizes; however, she does not elaborate on the interplay between the industry and the actual adaptation texts.

Furthermore, as regards theoretical applications in the study of adaptations, translation has also been viewed as an area with a potential for theoretical transferability. Concepts such as those of system (Even-Zohar 1978) and habitus (Bourdieu 1991), which have found a place in translation theory, have been put forward as a theoretical lens through which adaptation can
be examined in relation to the wider sociocultural context which accommodates it (cf. Cattrysse 2014; Murray 2012). However, although it has been suggested that theoretical insights derived from translation can apply to adaptation as well, such proposals have often remained theoretical themselves, lacking an application to specific adaptation cases.

The above-mentioned research gap can be overcome by solidifying an adaptation model which would draw upon the affinities between translation and adaptation and which could be applied to an adaptation case with the potential of generalising its applicability to other instances of adaptation, too. In other words, this gap seems to be of a theoretical as well as methodological nature. In order to fill in this gap, it seems reasonable to bridge the perspectives provided so far in regard to the study of adaptations. More specifically, taking the texts as a starting point and analysing their narrative elements can give a general picture as to the ways in which adaptation as a product is construed in relation to the source material. Examining then the texts against their respective contexts can shed light on the extratextual mechanisms that influence the adaptation process. Such an analysis of adaptation can reconcile product-oriented studies focusing on specific adaptations (cf. Cobb 2008; Lanier 2012; Palmer 2004) and function-oriented studies examining the narrative capacities of film, literature and adaptation (cf. Andrew 1984; Bignell 2002; Elliott 2014). Furthermore, bearing in mind that adaptation is in many ways similar to translation and vice versa, the overall process can be approached as a translational act, as has been suggested by scholars in Adaptation and Translation Studies.

As already noted, the gap identified in Adaptation Studies has a methodological dimension as well. Adaptation research has looked into the differences between novel and film as semiotic codes. However, given the specificity of adaptation analysis resulting from focused case studies, there have not yet been generalizable findings as to what changes occur in an adaptation. Therefore, Adaptation Studies seems to lack the methodological rigour and the appropriate tools to look into the adaptation changes in a systematic and comprehensive way. Adaptation theorists have often pointed out that the study of adaptation is largely interdisciplinary and that, as a result, the theory and methods enabling adaptation analysis are also derived from multiple sources (cf. Cattrysse 2014; Emig 2012; Elliott 2012; Leitch 2012). The assumed methodological gap in the study of adaptation can be covered with tools from other disciplines, one of which is arguably Translation Studies. Given that close textual analyses have also preoccupied translation research, it can be argued that the field has developed the means that are needed in adaptation in order to be able to keep track of the changes between source text and adaptation. For example, Vinay and Darbelnet (1958), Catford (1965), van
Leuven-Zwart (1989) and Hatim and Mason (1997) have all looked into translation shifts, examining the changes between source and target texts on various levels of grammar, pragmatics and style. Tailoring such tools to adaptation can enable a study of adaptation on a narrative level. Research suggests that a shift in media changes notions such as textuality (Hayles 2003), characterisation (Bosseaux 2015) and the audience’s engagement (Hutcheon 2013). A narrative analysis of the texts involved in an adaptation seems to be crucial to an understanding of the ways in which semiotic codes and media interact towards the communication of a similarity in difference, on which adaptation is predicated.

Looking into the texts can shed light on the narrative capacities of the different semiotic codes at work in adaptation. Moving from text to context and taking into account the overall circumstances of production and reception of adaptation can raise awareness of the extratextual factors that also play a role in adaptation. Examining adaptation from this angle can elucidate the systemic role of adaptation in relation to the literary system and the film industry. Moreover, such an approach can enhance the understanding of the inter-relations involved in adaptation, shifting once more the focus from text to context and to agents. This appears to be particularly relevant to the current mediascape which has often been dubbed “convergence culture” (cf. Constandinides 2013; Jenkins 2006; Tryon 2009). The prevalent characteristic of media convergence is the audience’s active engagement with a given text, on the basis of which new ones are created and re-created. In this way, audiences participate in the creation of new meaning which stems from their own understanding and interpretation. This is what Carroll (2009) calls retrospectatorship whereby a cultural product is consumed and actively transformed into what audiences understand it to be. Although this practice is largely found on the receiving end of cultural practice, it can apply to adapters as well, as they also re-imagine and re-create a new work of art based on a prior material. For this reason, research which looks into the production side of adaptation seems necessary to complement the picture drawn from a textual analysis as outlined above. The picture can then be ultimately completed by examining the reception of the adaptation.

It is clear then that in order to examine and comprehend adaptation, a holistic approach is needed. Such an approach needs to integrate a micro- and a macro-analytic study of adaptation combining elements from several fields, different perspectives and various vantage points. This can in turn lead to a theoretical framework within which adaptations can be viewed as they are produced and received nowadays, responding to the needs of contemporary audiences. This integrated analysis of the adaptation workings could shed light on intersemiotic
transposition and cultural dissemination more generally. Nevertheless, the first step would be to limit the study to a specific adaptation type and genre so as to test the validity of the analysis and draw relevant conclusions.

As a result, the aim of the present project is to build on the common ground between translation and adaptation in order to foster an understanding of the adaptation as a product and as a process. To this end, this project lays the ground for a model for adaptation analysis which relies on translation research and which will help arrive at a methodologically valid instrument for studying adaptations. In this way, it will be possible to deal systematically with the issues outlined above. More specifically, using this model will allow for a well-rounded analysis of the source text and the adaptation. This is the starting point for the first Research Question (RQ1) of the present study, which seeks to examine the changes that take place in the adaptation process, i.e. the adaptation shifts. Subsequently follows an interpretation of these shifts. In other words, the second Research Question (RQ2) asks how the adaptation shifts can be explained in a systematic and methodologically coherent way. This invites an investigation of the parameters which influence the adaptation as process and as product and which are largely dependent on the socio-temporal context in which the adaptation is situated. These two questions lead to a third one (RQ3), namely what translation tools can be deployed for the study of adaptation shifts in order to provide a theoretical and methodological coherence in Adaptation Studies.

The Research Questions posed in the context of this study will be answered by means of a combination of quantitative and qualitative methods. A quantification of the identified adaptation shifts can give rise to patterns that may appear in the transposition from novel to film, thus providing a clearer answer to RQ1. Qualitative analysis will help supply an answer to RQ2 by highlighting the rationale behind the adaptation shifts. It should be noted that, although generalizability would ultimately be the aim of adaptation analysis, this project will focus on a specific adaptation type (i.e. film adaptation) and genre (i.e. romance). The reason for this can be found in the fact that the new model developed here needs a test-bed so as to give rise to specific findings which can then be confirmed or revised through future research.

In order to give a clear picture of how adaptation and translation converge and overlap, and how this can lead to the creation of a translation-derived adaptation model, it seems necessary to firstly provide an overview of the research in Adaptation Studies. This is the purpose of Chapter 2, which elaborates on the points mentioned at the beginning of this chapter and signposts research milestones common to both Adaptation and Translation Studies. Thus,
the chapter arrives at the research gap that this project aspires to fill and points to the potential tools that can be borrowed from Translation Studies.

Chapter 3 outlines the methodological approach adopted in this project and presents in greater detail the Research Questions to be answered. It also explains how analytical tools of translation can be adjusted and applied to adaptation analysis and how these tools have been used in the present project. Moreover, the chapter discusses the application of Grounded Theory towards the step-by-step development of the adaptation model proposed in this project and concludes with the process of data collection and coding.

Chapters 4 and 5 include the analysis of the data culled in this project. As already mentioned, the data are analysed by means of both quantitative and qualitative methods. In Chapter 4, the adaptation model is applied to the novel-adaptation pairs of the corpus and allows for identifying and classifying the adaptation shifts. This chapter presents a quantitative analysis of the shifts across the categories of the model and brings to the fore any outstanding patterns. Chapter 5 focuses on the qualitative analysis of the identified adaptation shifts. Here the emphasis is placed on the reasons accounting for the shifts and for the adaptation behaviours established in Chapter 4. In this way, Chapter 5 links the shift patterns with the reasons that may motivate them.

Chapter 6 examines whether the Research Questions posed in Chapter 3 have been answered within the context of this project. It also evaluates the adaptation model against the research problem it was designed to resolve and discusses the implications of the emerging findings for adaptation, translation and creative industries more generally. Chapter 7 summarises the contribution of the present project and notes its limitations which give way to suggestions for future research. Finally, it is suggested that the approach adopted to adaptation analysis in this project can also encourage a better understanding of translation in its manifold facets.
2. Parallel lives: adaptation and translation

This chapter presents an overview of the main theoretical issues that have preoccupied Adaptation Studies across the years. Through this overview it will become clear that Adaptation Studies and Translation Studies have faced similar questions as disciplines and practices. However, whereas Translation Studies seems to have developed relevant frameworks and models to deal with these questions, Adaptation Studies appears to lack such tools that can achieve methodological coherence and meta-theoretical reflection (Cattrysse 2014: 23). For this reason, as will be argued, Translation Studies can provide useful aids that can contribute to a systematic analysis and interpretation of adaptations.

Firstly, the main similarities between adaptation and translation are briefly outlined in section 2.1. In 2.2., the focus is shifted onto the theories that have been developed in Adaptation Studies, concluding with contemporary views on interdisciplinary trans-theoretical approaches to adaptations (cf. Leitch 2012; Emig 2012). The discussion in 2.3. will unearth the research gap that seems to currently exist in Adaptation Studies in terms of theoretical and methodological applications. Finally, in 2.4., it will be argued that Translation Studies can solidify the study of adaptations in this respect and that, vice versa, adaptations can enrich the interdisciplinary remit of Translation Studies.

2.1. So close yet so far

Adaptation and translation involve similar properties as processes since they both deal with transfer of meaning and are context-dependent. Furthermore, they observe similar phenomena and, as a result, the study of their respective products can share a meta-theoretical discourse. More specifically, Cattrysse (2014: 47-49) builds on 1970s polysystem theories, and on the work of Even-Zohar and Toury, in particular, and summarises the common characteristics of adaptation and translation as follows:

- both adaptation and translation involve products that are situated in a complex context of agents, receivers and agendas of various interests;
- both processes involve utterances or texts. Cattrysse (2014: 48) further argues that the production processes in adaptation and translation are considered as intra- or intertextual and intra- or inter-semiotic. He identifies the intra- or inter-textual quality as deriving from the interaction of users with texts in a specific context and the cognitive, emotive and behavioural effects that result from this interaction;
translation and adaptation are considered irreversible processes, in the sense that a back-translation is not the same as the source text and, similarly, a novelization of a film adaptation would not be the same as the source novel;

adaptation and translation processes are assumed to be teleological, in that they are influenced by source and target (con)text conditioners, the latter of which play a pivotal role in the overall decision-making;

notions of ‘equivalence’ can be traced in both adaptation and translation.

With regard to the last point, Cattrysse (2014) remarks that the concept of ‘equivalence’ has often co-occurred with ‘fidelity’ in the adaptation discourse. More specifically, in the context of adaptation study, “[e]quivalence meant fidelity towards specific valued aspects of the adapted literary text” (Cattrysse 2014: 272). The overview of adaptation theories in section 2.2. confirms this point. As can be seen in 2.2.1., the early steps of adaptation theories follow in those of translation theories, with an emphasis on relations of ‘equal value’ between the two texts (and with similar complications). Progressively, theoretical viewpoints on the analysis of adaptations acquired a sociological orientation and encompassed the various contexts of production and reception.

It follows then that there is much common ground between adaptation and translation as processes and as products. Moreover, as research areas, they have had contiguous routes of development. This will become obvious in the following section, which presents a historical overview of theoretical enquiry in Adaptation Studies. The discussion in 2.3. will also show that literature and cinema as systems have much in common and that, in turn, translation and adaptation are positioned in an interwoven polysystem.

2.2. Theories of adaptation
The transfer of a novel to the big screen has been associated with the intention of providing a more “digestible” version of a literary work that mass audiences can easily access (Ray 2000: 40; Bazin 2000: 26). Notably, during the silent period of cinema, filmmakers resorted to literature because these stories were well-known and were not dependent on dialogue for the audience’s comprehension (Cartmell 2012). This continued to be the norm even in the early days of the ‘talkies’. Bluestone (1957: 3) remarks that in 1934-35 “about one-third of all full-length features were derived from novels (excluding short stories)”. Moreover, adaptations were the means to communicate great works of literature to the masses. As Lake (2012) remarks, visual storytelling is frequently more potent in making a complicated story accessible
to the average person. In fact, not only does adaptation bring literature to the masses, but it also brings the masses to the literature, thus acquiring a “democratizing” effect (Cartmell 2012: 3). For this reason, film adaptations were soon poised amid a hostile polarised climate between literature and cinema: they were ‘banned’ from literary studies, which accused adaptations of usurping literary texts, as well as film studies, which was trying to be established as an independent art form (Cartmell 2012: 7). As a result, film theorists like Balázs saw film adaptation as lacking the intellectual depth and acclaimed status of its literary predecessor (Andrew 1976). Furthermore, adaptation has been claimed to offer a passive form of entertainment in that it spoon-feeds the audience with a saturated depiction of places and characters, which falls short of the introspective cognitive engagement afforded by literature. In what follows, emphasis is placed on the theoretical attention that adaptation gradually attracted and how it evolved throughout the years from a text-centred focus to a context-embracing orientation.

2.2.1. Setting the scene

Early research in Adaptation Studies aimed at identifying what can (and should) be transferred in adaptations. At the same time, this issue was linked with a study of the capacities of literature and cinema as distinctive media with their own meaning-making resources. Bluestone (1957) highlighted that film adaptations involve by default differences in form and theme which are inextricably linked with the inherent differences of literature and film as media. A few years later, theorists like Wagner (1975), Andrew (1976) and Chatman (1978) attempted to identify transferrable narrative elements between book and film. The two media were then posited as two distinct modes of expression which manipulated different conceptual and perceptual strategies so as to recreate the adapted narrative.

More specifically, Wagner (1975) underscores literature’s inferential prowess and the complex reactions it triggers through verbally constructing an imaginary world. Drawing on psychology and Freud’s theory of substitute gratification, he notes that novels require “an active mental effort of engagement” (Wagner 1975: 147), whereby readers can be fully immersed in the narrative of the book and, as a result, enjoy the fruits of this mental effort. It is worth noting that Hutcheon (2013: 126) also emphasises that the main difference between literature and cinema consists in the very distinction between telling and showing: the former requires conceptual work and the latter perceptual decoding. In other words, literature allows for a gradual imaginative reworking of words and descriptions, which then gives the characters and the places mentioned a unified form. In contrast, the cinema pre-empts the imagination by a
priori shaping and colouring any vague sketches inspired by the novel. Nevertheless, as will be later argued, Hutcheon (2013) points to the differences between literature and cinema in order to underline that the two media provide two different but equally rewarding experiences.

Wagner (1975) attempted an initial classification of adaptations according to the ways in which they treated the source novel. These adaptation types are namely transposition, “in which a novel is directly given on the screen, with the minimum of apparent interference”, commentary, “where an original is taken and either purposely or inadvertently altered in some respect”, and analogy, which represents “a fairly considerable departure for the sake of making another work of art” (Wagner 1975: 222-227; emphasis in the original).

Andrew (1976) shifts the focus onto film theories through an overview of the different eras in cinema criticism, such as Russian Formalism, Realism and Semiology in cinema. By referring to film theorists such as Arnheim, Eisenstein, Balázs, Kracauer and Bazin, Andrew (1976) attempts to arrive at a unified theory as to the means that cinema has at its disposal in order to (re-)construct the fictional world. Here are also noted Formalists’ extreme views towards adaptations; for instance, Balázs supported that masterpieces of literature can hardly ever be successfully adapted “because a masterpiece is a work whose subject ideally suits its medium” (Andrew 1976: 87).

A more thorough examination into the specifics of narrative devices as used in literature and cinema was later initiated by Chatman (1978), who distinguished between the parts of the narrative that need to be transferred in a film adaptation and those that can be omitted. Chatman (1978: 53-54) called kernels the major events of the narrative which contribute to the development of the overall plot. Kernels must be maintained as such in the adaptation because their deletion leads to destruction of the narrative logic. On the other hand, Chatman (1978) argued that the minor events, which he called satellites, can be deleted, although their deletion may potentially result in an aesthetic impoverishment of the narrative. In addition, he tried to find cinematic equivalents of the literary narrative devices (e.g. the peeling of a calendar indicating the passing of time), without, however, coming up with a comprehensive taxonomy. He was also quite preoccupied with the nuances involved in a character’s point of view, as this could be assigned physical, ideological or narrative semantics: a point of view can be perceptual in its literal meaning, signifying “through someone’s eyes”, conceptual in its figurative

---

1 Jost (2004: 72-74) provides an extensive taxonomy on the different meanings encapsulated in what is called point of view, i.e. the phenomenon of perceiving, on the one hand, and that of thinking and knowing, on the other.
meaning, indicating “through someone’s world view”, or a passive state referring to someone’s interest-vantage (Chatman 1978: 151-153).

Similarly to Chatman (1978), McFarlane (1996) also examined narrative constituents that need to be transferred in the adaptation. Drawing upon Barthes’ (1966/1975) distinction of narrative functions, McFarlane (1996: 13-14) argues that actions and events can be transferred from novel to film, while he places emphasis on the functions that are transferrable; these constitute what he defines as adaptation proper. He calls cardinal functions and catalysers the major and minor events of the narrative respectively. McFarlane (1996) maps his distinction onto that of Chatman’s (1978). In other words, cardinal functions and catalysers can be analogically juxtaposed to kernels and satellites respectively. According to McFarlane (1996: 14), the degree to which cardinal functions are more or less faithfully transferred can also lead to judgements regarding the success of the adaptation. In contrast, catalysers lend themselves more easily to manipulation or deletion from the film. As an example of catalyst, McFarlane (1996: 14) mentions the laying of the table for a meal, which gradually may prepare the ground for rising action, i.e. for a cardinal function.

McFarlane’s work looked into the issue of point of view as well, previously examined by Chatman (1978) as noted above. McFarlane (1996: 16) remarks that the cinema enjoys greater flexibility in changing and manipulating the physical point of view, even though the narratorial modes found in literature may be difficult to identify and sustain in film narrative. Cinematic devices are seen as less dexterous when it comes to the characters’ psychological aspects. According to McFarlane (1996) and Andrew (1976), this is where the narrating prose assumes relative superiority: the cinematic sign leaves no room for speculation or visualisation because its high iconicity works much more directly compared to the verbal sign. Bluestone (1957) also agrees that mental states such as memory, dream and imagination cannot be as adequately rendered in film as in language. This issue is also related to the inter-medial differences of book and film, which are elaborated later on.

Apart from events and actions, McFarlane (1996) remarks that information pertinent to the characters can also be transferred to various degrees of fidelity in the film adaptation. He distinguishes between the informants and the indices proper, both of which are related to characters and setting but enjoy different degrees of ‘adaptability’. The informants include matter-of-fact information as to who the characters are and where the narrative is set and can be transferred from one medium to another, whereas indices proper convey less tangible details concerning the characters and the setting and are assumed to be more versatile during the
adaptation process (McFarlane 1996: 14). In later years, Voigts-Virchow (2009) similarly noted that there are basic themes and plot elements which are medium-independent, and thus aptly transferrable. In addition, Elliott (2004: 230) conceptualised adaptation in genetic terms and remarked that elements transferrable between literature and film constitute an underlying “deep” structure which remains intact as narratives travel across media. It can be thus argued that McFarlane’s cardinal functions and informants seem to constitute part of this deep structure.

The discussion of what and how ‘faithfully’ can be adapted gave rise to the fidelity discourse often employed in adaptation analysis. In what follows, there is a brief overview of the fidelity debate in adaptation, followed by later views which rejected the concept of fidelity in place of others more hermeneutically-oriented.

2.2.2. The fidelity debate: the rise and fall of an Adaptation Studies ‘villain’

Chatman’s (1978) and McFarlane’s (1996) focus on transferability of narrative segments touched upon fidelity issues between the film adaptation and the source novel. The ways in which the film manipulates the narrative core of the book, and in turn how much it differs from the source novel, resonates with value judgements as to whether the ‘spirit’ or the ‘essence’ of the work is transferred. Andrew (2000) proposed a classification of adaptations based on the ways in which they manipulated their relation with the book: borrowing is the mode of adaptation where the artist employs the material, idea or form of a prior successful text, intersecting allows the artist to preserve the specificity and uniqueness of the original text, which is thus left unassimilated, whereas fidelity of transformation attempts to directly measure up the film to its literary predecessor and such a comparison between the two is expected and anticipated (Andrew 2000: 30-31). With regard to transferring the ‘letter’ and the ‘spirit’ of a text, Andrew (2000) notes that the former is more easily done than the latter.

According to Stam (2000: 58), the reason why literature is assumed to be superior to the film is rooted in certain prejudices which traditionally pull the tug-of-war in favour of the former. These are the following:

- *seniority*, “the assumption that older arts are necessarily better arts”;
- *iconophobia*, “the culturally rooted prejudice […] that visual arts are necessarily inferior to the verbal arts” and its pro-literature counterpart *logophilia*, “the […] valorization […] of the ‘sacred word’ of holy texts”; and, finally,
• the myth of facility, “the completely uninformed and somewhat puritanical notion that films are suspectly easy to make and suspectly pleasurable to watch” (Stam 2005: 7). A similar observation is made by Whelehan (1999: 6), who notes that the counterintuitive assumption that literature is more “complex” than the cinema deprives film adaptations of serious study of the multiple registers they deploy in order to convey equally complex messages.

Stam (2000) attributes the criticism of (in)fidelity to the disappointment viewers may experience after reading a novel and noticing that a film adaptation fails to capture what they see as fundamental narrative, thematic and aesthetic characteristics. Metz (1982: 112) resorts to psychoanalysis and explains the particular phenomenon as the “phantasy being disappointed”: the reader of the novel, in an active engagement with the fictional narrative, has imaginatively created his/her own images and, thus, s/he expects to see the same images onscreen. However, as Metz (1982: 112) underlines, this is not possible because the film adaptation is somebody else’s “phantasy”, namely the filmmaker’s. Nicklas and Lindner (2012: 2) adopt a similar line of argument in that this disenchantment of fans of classics (e.g. Shakespeare’s and Jane Austen’s works) and popular fiction (e.g. the Harry Potter and Lord of the Rings book series) “rests on an understanding of meaning which is at odds with current contextual and contingent concepts of its constitution”. Put differently, the readers’ visualisation of the fictional story-world does not agree with what they experience as viewers of the given adaptation because readers-viewers and adapters interpret the source novel in disparate ways.

Fidelity seems to persistently be a measure of success, especially when culturally treasured classics are adapted. In such cases, the adaptations inevitably bear the label of ‘imitative’ art and often run the risk of “eliciting critical opprobrium” (Naremore 2000: 13). For example, as the works by Jane Austen or Charles Dickens were the ones mostly adapted at first, their value in their new semiotic incarnation used to depend on the fidelity deriving from the comparison with the source text (Diehl 2005). In other words, the film was evaluated according to whether or not it had kept intact the narrative core of the novel, which, according to McFarlane (1996: 12), is “the chief transferrable element”. Disappointment often accompanied film adaptations of classics because the experience of watching the film could not match that of delving into the source novel itself. Leitch (2007: 16) argues that the novel is always better than any adaptation because “it is always better at being itself”.

22
Although Leitch’s (2007) statement above may at first glance appear to underline the difficulty of rendering the subtle literary narrative techniques, it also shows recognition of the distinct capacities of the two media. Theorists progressively started arguing that adaptations need not be ostracised to inferiority as artistically minor replicas because they are different from the source material; on the contrary, these differences allow further possibilities for creative transposition of equivalent narrative units within the bounds of the different media. As the fidelity debate started to fade as a criterion of evaluation, the inherent differences of the novel and the film were viewed as unique arsenals of meaning-making resources; as a result, evaluative comparisons between source and adaptation were gradually dismissed as invalid.

More specifically, Stam (2000: 56) argues that any comparative juxtaposition between the two works with the aim of pointing gaps or omissions is ultimately unsubstantiated because it ignores the multifaceted processes of filming. In fact, he seems to deny McFarlane’s (1996) claim that every novel has a narrative core which can be transferred to its filmic version. Similarly to Stam (2000), Hutcheon (2013) provides a view different from Chatman’s (1978) and McFarlane’s (1996) on what can be transferred in an adaptation. Hutcheon (2013: 10) remarks that, although the plot has traditionally been assumed to be the transferrable core, this transfer involves changes in media, genres and frames which imply that the transferred story is no longer the same as in the source novel. In other words, as soon as the medium or the point of view of the narration changes, the narrative changes and so do the modes of the audience’s engagement. For instance, narration in the novel differs from performance in the cinema or the theatre, which in turn differs from an all-encompassing immersion prevalent in video games. In fact, Herman (2004: 54) argues that “stories are shaped but not determined by their presentational formats” and that the expressive media through which stories are conveyed entail different degrees of intertranslatability.

In addition, Hutcheon (2013: 130) points out that the film conveys multiple information at the same time, which Stam (2005) attributes to the synaesthetic nature of the art of cinema, as it engages both senses of sight and hearing. Stam (2005: 23) argues that this is not to be regarded as a shortcoming; on the contrary, this synaesthetism can work towards completely engaging and immersing the viewer in the fictional world of the adaptation (as happens, for example, with 3D films or video games). What is more, the fact that information is communicated via multiple sources may make film-watching as cognitively stimulating as book-reading. Similarly, Chatman (1990) argues that, although film may not be able to
reproduce many of the pleasures involved in reading a novel, it can produce others of parallel value which celebrate creativity and enable an interactive interplay.

In defence of the artistic value of film adaptations, Stam (2000) remarks that the film has multiple materials of expression, i.e. images, sounds, music, and, as a result, manifold resources of expression, whereas the novel has only one, i.e. the written word. Similarly, Metz (1982: 43) points out that, from a quantitative perspective, the cinema is “more perceptual” than other arts because it contains many signifiers: it presents pictures, it involves music and it is comprised of photographs. This is why, according to Metz (1982: 43), the cinema has been known as a “synthesis of all the arts”. Elliott (2004: 227) further points out that, even though film adaptations typically condense the source novel, they imbue the narrative with “the semiotic richness of moving images, music, props, architecture, costumes, audible dialogue” and other modes of expression, all of which are fraught with cultural and symbolic resonances. Bazin (2000) also highlights the fact that the cinema has at its disposal a plethora of means to imbue the literary narrative with real-life characters and places. He argues that the ‘essence’ of a literary work does not reside within its formal realisation, but it rather relies on the “equivalence in meaning of the forms” (Bazin 2000: 20; emphasis in the original). Therefore, it is up to the filmmaker to create this equivalence by means of the devices afforded by the cinematic mode.

What is more, Hutcheon (2013) provides a threefold definition of adaptation which features the element of ‘creative transposition’ at its core. More specifically, Hutcheon (2013: 6-8) claims that a film adaptation can be viewed as a) a formal entity or product, b) a process of creation and c) a process of reception. In her view, adaptations by definition involve transposition of a work, which in turn may entail a change of medium or genre. Similarly to Chatman (1978), but in a rather more comprehensive way, Hutcheon (2013) looks into relations of equivalence between literary narrative devices and cinematic techniques. She attempts to concretise the role of music and camera movements as cinematic equivalents to the narrative devices of literary fiction. Music is seen as providing “aural equivalents” for characters’ emotions while generating affective responses in the audience (Hutcheon 2013: 23). In this way, sound complements the visual and the verbal aspects of the film and may, therefore, resemble the effect that the novel’s words have had upon the readers. The duration and type of shots are assumed to signify the importance assigned to events and characters, which, in the novel, is accomplished through more or less extensive narration or description. Camera movements and the different kinds of shots transpose the literature’s “meanwhile”, “elsewhere”
and “later” onto the cinematic screen through fades out and filmic dissolves (Hutcheon 2013: 64).

Metz (1982: 194) notes that there cannot be an absolute one-to-one correspondence between linguistic devices (e.g. figures of speech) and cinematic devices (e.g. montage and editing), because the two have been developed and belong to different realms of experience and knowledge. Ross (1987: 22) calls such optical devices “cinematic punctuation marks” and notes that they have often been likened to language’s prepositions and temporal adverbs. However, instead of identifying corresponding relations between two different systems, the focus is now being shifted onto the ways in which the evoked experiences intersect. This echoes Bazin’s (2000: 20) above-mentioned argument that emphasis needs to be placed on the ways in which the formal properties of different media allow for equivalence in meaning.

It becomes clear then that the crucial notion of ‘equivalence’ is increasingly gaining ground in Adaptation Studies. Therefore, the theoretical interest now points towards identifying ways in which equivalence can be achieved despite the different coding systems involved. This is strikingly familiar with the early developments in Translation Studies, where the concept of ‘equivalence in difference’ was cardinal to early translation theories generally focusing on the dichotomy between literal vs. free translation.

As theories of adaptation start to encompass the element of creativity, the range of options available to adapters also gains prominence. As a result, it can be argued that there appears to be a distinction between servitude and option in adaptation similar to that introduced by Vinay and Darbelnet (1958/1995) in Translation Studies. According to Vinay and Darbelnet (1958/1995), servitude signifies obligatory translation shifts in the target text which arise from the differences between the language systems involved; in contrast, option pertains to non-obligatory changes which result from the translator’s preferences and stylistic choices. By analogy, in adaptation, servitude can be evidenced in the obligatory changes (or adaptation shifts) that occur due to the intrinsic differences of book and film as coding systems. On the other hand, the gamut of means and devices allowed by the cinematic code underlines the range of options available to the adapter. This along with discussions pertinent to the creativity involved in adaptation (Hutcheon 2013) can give rise to non-obligatory, optional adaptation shifts which derive from the adapter’s style and creativity. Therefore, similarly to translation, adaptation can also be considered as a matter of taste, which at once raises issues of subjective interpretation of adaptations and highlights the adapter’s role in choosing among the available means to communicate the narrative of a source material.

25
Apart from the meaning-making resources available to literature and cinema, aspects of co-text and context also start to be taken into account in the analysis of adaptation. Interestingly, Ross (1987: 22) argues that a major difference between the literature and cinema is that the cinema’s “grammar” does not have the stable meanings of language’s deictic elements and, thus, relies on context for spatial and temporal semantics. However, the analogy to language cannot be entirely discarded on such grounds, since the very tenet of pragmatics and sociolinguistics is that linguistic meaning is also context-dependent. Arrojo (1998) points out that linguistic meaning is not a stable entity, as it is ideologically and historically produced and socially determined. With regard to meaning-making in images, Kress and van Leeuwen (2006) point out that both verbal and visual language express meanings structured by social influences and processes. As a result, there is common ground in the ways in which images and words make sense. These similarities can bridge the gap between the allegedly estranged repertoires of meaning-assignment devices of verbal and cinematic language; by extension, the tools used to analyse linguistic meaning and translation can mutatis mutandis be applied to the analysis of cinematic meaning and adaptation. As Leitch (2012: 90) argues, “many novels depend on images, either inscribed or implicit, and even more films depend on words, written as well as spoken”. This statement highlights the inter-dependence of words and images, literature and film, adaptation and (audiovisual) translation.

In fact, both meaning-making devices, linguistic and cinematic, and the resulting narratives are inextricably linked to context. Herman (2004) draws upon conversation analysis and ethnomethodology and emphasises the bidirectional interplay between narratives and contexts. According to Herman (2004), narrative is a situated practice which is tailored to specific contextual circumstances and, at the same time, these circumstances are informed by the emerging narratives. For this reason, “retellings produce not different versions of the same story but new narratives-in-contexts” as each retelling presupposes a different context (Herman 2004: 54).

As a result, it can be argued that adaptations do not merely reproduce narratives but creatively transpose and recontextualise them. As Hutcheon (2013) suggests, adaptations affirm their value through reinterpreting the source novel and assigning new messages to it. Adaptations assemble elements of their source and other texts and culminate in a palimpsest teasing the audience to recall what is intertextually invoked. According to Hutcheon (2013: 120), adaptations need to be experienced as adaptations so that the various intertextual effects
they produce can reach the audience. However, identifying the intertextual connections is not a prerequisite for the success of adaptations (Hutcheon 2013; Tsui 2012).

Notably, the kind of literature that is adapted has a bearing on the prevalence of the presupposed relation with a prior literary work. As Corrigan (2012: 438) notes, film adaptations of classics often assume viewers’ familiarity and appeal to their awareness and recognition of the book through the implemented changes. It seems reasonable to argue that, in these cases, the adaptation manipulates the audience’s expectations and invites them to reinterpret the literary source, creatively and socially, within the new context of the adaptation. As Mills (1995) remarks, meaning is not located within a text but is derived through a negotiation with the viewers’ assumed knowledge. Apart from audiences familiar with the source novel, an adaptation may address other audiences as well, as happens with literary texts. Mills (1995) identifies the following types of audiences of literature: the intended audience, meaning “the general community of readers to whom the book will be marketed”, the implied reader, that is “the position to which the text is directed”, and the actual audience, being “the people who buy and/or read the book, which may not match the people for whom the book was intended” (Mills 1995: 24). In film adaptations, a similar distinction can be made. Arguably, adaptations of classics may address as implied audience viewers who have read the book and are expected to compare the film to the novel, because the new messages that the adaptation aspires to communicate are potentially extracted by means of such a comparison.

On the other hand, film adaptations of minor or relatively unknown works of literature treat it as a more or less invisible dimension which viewers neither know nor need to know (Corrigan 2012: 438). Such adaptations can contribute to the marketability of the source novel as well. Moreover, when the adaptation-watching precedes the book-reading, the interpretation acquired through the first experience might superimpose the latter; hence the reading becomes re-viewing, much the same as the viewing of adaptations of known novels becomes their re-reading. Film adaptations of lesser-known books enjoy a greater ideological or political freedom in their treatment of the adapted text. This may also hold for literature specifically written to be adapted, which is often the case with contemporary writers (Murray 2012; Nicklas and Lindner 2012).

It is clear then that the various types of material that are adapted assume varying degrees of relationality between adaptation and source material. Therefore, it can be argued that, in

---

2 Genette (1997a) argues that all texts are potentially intertextual: it is impossible to read a text – or watch an audiovisual text, for that matter – for itself, ignoring the intertextual relations.
order for film adaptations to be regarded as successful works of art in their own right, they need to address audiences with and without prior knowledge of the book.

The discussion so far has touched upon concepts central to adaptation, namely intertextuality, reinterpretation and recontextualisation. In what follows, these are further explained as invoked by adaptation theorists. It needs to be noted that an emphasis on such notions approaches adaptation as an entity that assumes its meaning from an interaction with prior and current agents. Put differently, the adaptation is viewed as a meaningful activity whose meaning is an amalgamation of texts, users and sociocultural contexts. The relationship with source (and other) materials is no longer considered as a debasing feature but is rather the element that elevates adaptation in terms of semantic complexity.

2.2.3. Relations intertwined: the ‘deus ex machina’ of adaptation

The concept of intertextuality is quite prevalent in the field of Adaptation Studies. More generally, intertextuality has been examined from various perspectives, such as film, poetics and literary criticism. With respect to films, Stafford (2007: 83) defines intertextuality as “the way in which a specific text, a single film, might require knowledge of several other films in order to grasp all of its meanings”. Viewers are allured via the images to make interconnections with other films and, thus, gain a sense of self-gratification if they achieve such an accomplishment. At the same time, they verify their sophistication and cineliteracy (Stafford 2007).

Admittedly, this is even more obvious in the case of adaptations, where viewers are to comprehend a film through also drawing links with a source material. In film adaptations, where there may be intertextual links with prior novels as well as with other films, viewers come to establish their literacy as far as literary classics are concerned as well. Paget (1999: 132) describes intertextuality in film adaptations as the process whereby “the well-read audience recognises, acknowledges and even enjoys the transference between media of cardinal/kernel narrative functions”.

Moreover, Ray (2000) remarks that film adaptations gain popularity when they easily become points of reference to the book that they adapt. This means that there needs to be some consistency in the intertextual connotations so that the audience can make the connections between the two media, and thus instantly access the narrated story (Ray 2000: 40). Viewers that watch a film adaptation and are able to make the connections with the novel (and other texts) experience a pleasure of seeing something known transformed into something similar and
yet different. Hutcheon (2013: 174) tallies with Ray (2000) in that the artistic and cultural value of adaptations lies in their “ability to repeat without copying, to embed difference in similarity, to be at once both self and Other”. From this follows that film adaptations can actively engage viewers and generate a critical understanding on their part in regard to the invoked texts. According to Paget (1999), this is much more important and influential than the recurring fidelity issues.

Closely related to intertextuality is the concept of intermediality, which was extensively researched by Wolf (1999), particularly in relation to literature and music. Wolf (1999: 1) defines intermediality as “the participation of more than one medium of expression in the signification of a human artefact”. Intermediality is a term introduced by Wolf (1999) as analogous to intertextuality in order to designate relations between media. Wolf (1999) defines medium as follows:

[Medium is] a conventionally distinct means of communication, specified not only by particular channels (or one channel) of communication but also by the use of one or more semiotic systems serving for the transmission of cultural ‘messages’.

(Wolf 1999: 35-36)

These concepts are relevant to adaptations as well. As can be seen in the definition above, emphasis is placed on the discursive exchanges observed between the different media as well as on the cultural messages conveyed thereby. Wolf (1999) is not solely concerned with the individual differences between two channels of communication, but rather with the ways in which one can inform the other and enrich the phenomena involved in both. In an analogy to the concept of intertextuality, Wolf (1999) moves on to construct a comprehensive definition and typology of intermediality. He points out that, in both of these notions, there is essentially an intra phenomenon, i.e. “an involvement of at least one further text (or textual genre) in the signification of a given text” (Wolf 1999: 36; emphasis in the original). Given that his definitions of intermediality and medium cover all forms of communication, including “computerized ‘hypertexts’ and ‘virtual realities’” (Wolf 1999: 36), this intra phenomenon inherent in both intertextuality and intermediality can apply to both verbal and audiovisual texts, i.e. to both translation and adaptation. Intertextuality and intermediality are construed as two forms of intersemiotic relations: “[i]ntertextuality is thereby the mono-medial (verbal), intermediality the cross-medial variant of intersemiotic relations” (Wolf 1999: 46).
Amongst the criteria used to delineate the concept of *intermediality* (Wolf 1999: 37-41), one that seems to be particularly important – and arguably applicable to film adaptations – is that of the quality of the intermedial involvement, which leads to a distinction between *overt or direct intermediality* and *covert or indirect intermediality*. The former means that the two media involved remain distinct and can be easily identified separately. Wolf (1999: 40) mentions the sound film as a case of *overt intermediality*, since it contains visual elements and usually music; another similar instance is the opera, which combines drama and music. On the other hand, *covert or indirect intermediality* is much more complex; it signifies the involvement of two media, but only one of them “appears directly with its typical or conventional signifiers and hence may be called the dominant medium, while another one (the non-dominant medium) is indirectly present ‘within’ the first medium” (Wolf 1999: 41). For example, the description of a concert in a novel is an instance of *covert intermediality* (Wolf 1999: 41).

Given Wolf’s (1999) remark that the sound film entails *overt or direct intermediality* and that film adaptations are (more often than not) sound films, it can be concluded that film adaptations are instantiations of *overt or direct intermediality* in terms of medial qualities. However, in conjunction with the above-mentioned, it may follow that the two cases of *overt/direct intermediality* and *covert/indirect intermediality* create a cline in which film adaptations as textual entities may be placed nearer one or the other end of the spectrum. The film adaptation of a work which makes explicit meta-adaptive comments on earlier adaptation(s) or on the source material itself can be seen as an instance of *overt or direct intermediality*, because in such cases the explicitness of the comments facilitate the act of distinguishing between the media involved. A case in point is the film *Easy A* (Gluck 2010), the script of which is loosely based on *The Scarlet Letter* (Hawthorne 1850), which makes explicit evaluative references to both the 1926 silent film and the 1995 film version of the novel. Additionally, when allusions and intertextual links are quite pronounced in a film adaptation, it may also be easier to discern the media involved. In cases as the ones just described, *overt or direct intermediality* may be enhanced by iconic representations of the evoked medium: for example, in the film adaptation *Pride and Prejudice* (Wright 2005), Austen’s homonymous book is shown to be read by the characters of the film.

On the other hand, when it comes to *covert or indirect intermediality*, the non-dominant medium informs the dominant one but can only be traced as a referent or as an indirect signified (Wolf 1999: 41). Films which do not advertise their nature as adaptations, but do nevertheless echo previous texts (either verbal or audiovisual ones), can be considered as leaning towards
covert or indirect intermediality. In such film adaptations, the visual medium is dominant, while the verbal one exists as an indirect referent and is the non-dominant medium. The media involved are essentially inseparable and inter-dependent: there is a latent touch of intertextuality as well as intermediality in that there is an implicit interaction between different texts as well as different media (e.g. images and words or songs and images).³

As noted above, the concept of intertextuality has proved particularly influential in poetics and in literary criticism as well. Genette (1997a: 1) calls the same notion transtextuality, as there appears to be essentially a “textual transcendence” defining the relationship between texts. Although Genette’s (1997a) focus of intertextuality or, according to his term, transtextuality, lies primarily on literary classics, Allen (2000) uses Genette’s (1997a) typology and suggests that film adaptations constitute an example of hypertextuality. Hypertextuality signifies the relationship between a text (the hypertext) and a chronologically preceding one (the hypotext), but not in the quality of commentary (Genette 1997a: 5). As Jenny (1982) remarks, such a hypertextual relation requires the semiotic use of a prior formal structure which is re-signified and put to purposes other than those in the original system. According to Allen (2000: 109), hypertextual transpositions may occur by means of processes such as self-expurgation, excision, reduction or amplification. For instance, film adaptations of Victorian novels, such as those by Dickens and George Eliot, clearly manifest processes of reduction, as they only focus on specific sections of the novel (Allen 2000: 109). However, Allen (2000) adds that there are cases where aspects of the source novel are amplified in the film adaptation. Particularly interesting is his point that amplification processes may involve what Genette calls transmotivation, i.e. the transformation of characters’ motivation, which can be suppressed or elided (Allen 2000: 110).

Stam (2000) applies Genette’s taxonomy of transtextuality specifically to film adaptations and emphasises that film adaptations find themselves in a constant re-negotiation with the source novel. He also underlines that, over and above stagnant discussions of fidelity, adaptation analysis should consider the intertextual dialogism between adaptations and source novels. Ray’s (2000: 45) use of Derridean language to describe the film adaptation as “a ‘citation’ grafted into a new context, and thereby inevitably refunctioned” agrees with Stam (2005) in that film adaptations amount to much more than a mere imitation of a literary predecessor. Influenced by Deconstruction and Poststructuralism, Stam (2005) points out that the original is not in an antagonising conflict with the copy, but it rather gains in prestige and

³ If the evoked text(s) belong(s) to the same medium, then there may be intertextual intramediality.
cultural value through it. He reconfigures adaptation from a deconstructivist point of view and argues that there is no such transferrable ‘essence’; a literary work remains open to reinterpretation and recontextualisation, which may change with the passage of time and the different social contexts.

Therefore, it seems reasonable to argue that re-adaptations are analogous to retranslations. Books may be re-adapted throughout the years for reasons similar to those that texts are retranslated: as the sociocultural and historical circumstances change, there arises the need for retranslation (Gambier 1994). Venuti (2004: 35) concurs that retranslations are dependent on and caused by changing values and institutions of the translating culture. At the same time, the institutional and sociocultural changes expand the spectrum of interpretation. As Gürcağlar (2009: 233) puts it, retranslations come into being because of “a broadening of the available interpretations of the source texts” in different socio-temporal and cultural contexts.

The dialogic process between novel and film adaptation can be evidenced in changes observed in the adaptation fabric which can be attributed to ideological and social discourses of the adaptation’s time and place of production (Stam 2005). By (implicitly or explicitly) referring to the socio-temporal context in which they are situated, adaptations act as mediating channels between their source material and their contemporaneous audience. In this way, the literary model is made more accessible to the audience and cinema is regarded as “digest”, according to Bazin (2000: 26). What is more, adaptations may themselves be politically or ideologically charged, since the intertextuality manifested between the two media is not merely of an intersemiotic nature but of a sociological one, too (Palmer 2004). Put differently, adaptations entail an interplay between the norms and conventions of the two media as well as between the sociocultural contexts in which source text and adaptation are situated. For example, the film Apocalypse Now (Coppola 1979), which is based on Conrad’s Heart of Darkness (1899), recontextualises the source novel as a Vietnam War story.

As can be seen from the arguments above, the remit of adaptation analysis has progressively moved beyond a degrading look on adaptations to examine inter-relations with their source materials and the ways these are reinterpreted in a new context. Therefore, the static unattainable ideal of fidelity is replaced by the dynamic concept of intertextuality which gradually takes into account human agents and extratextual factors which condition adaptation as a process and as a product. The following section explores the re-interpretative nature of adaptations, also traced in translation. This is later linked with recontextualisation and in turn with the film industry. As explained in 2.3., adaptation can thus be viewed as a sub-system of
the wider polysystem of a culture which bridges the literary and the film system, in that many adapted scripts are created with specific performers in mind and books are written with the aim of being adapted into films (Boozer 2008/2012; Murray 2012; Nicklas and Lindner 2012).

### 2.2.4. Reinterpretation and recontextualisation: the ‘climax’ of adaptation theories

As already noted, many theorists begin to discard comparative analyses aimed at ‘spotting differences’ between source material and adaptation, while they agree that film adaptations bear an artistic and cultural value in their own right (cf. Aragay 2005; Boozer 2008; Diehl 2005; Leitch 2008; Venuti 2007; Whelehan 1999). Adaptation is now viewed as a self-acclaimed work of art which cannot be repeated; it is distinguished from its literary predecessor as well as from other cinematic creations (Raitt 2010: 47). Raitt (2010) also rejects the notion of faithful transposition, which par excellence carries connotations of betrayal during a process of transfer of narrative of an anterior – and often considered superior – medium.

The view that adaptations, far from diminishing the source novel, enrich it by providing a new spectrum of re-readings increasingly secures theoretical validity. Venuti (2007) remarks that film critics who condemn an adaptation as inferior to the source novel do so based on a pre-existing interpretation of the novel, i.e. their own. He points out that film adaptations in general are not compared directly to the literary source “but rather to a version of it mediated by an ideological critique” (Venuti 2007: 28). This means that the text with which adaptations are compared is not the source material as such but the given critic’s interpretation of the source material. In such cases, the critics’ “disappointed fantasy” (Metz 1982) seems to cloud their judgement in that they fail to see adaptation as the adapter’s reinterpreting vision. According to Venuti (2007), when adaptations are treated – and evaluated – as reinterpretations of a literary predecessor, they need to be viewed through the lens of the filmmaker’s interpretation of the source novel. Consequently, any simplistic characterisations of good/bad or (un)faithful have no place in adaptation analysis because, as previously mentioned, adaptation is also subjective reinterpretation.

Venuti (2007: 33) adds that the interpretation realised by a film adaptation is enabled by means of the interpretant, i.e. a category which provides a method of selection among the adapted materials and transforms them into the adaptation according to the filmmaker’s vision. Put differently, the interpretant appears to guide the filmmaker’s decisions and choices as to what and how is going to be adapted. Interpretants have the same function in translations as well (Venuti 2007). In either case, they can be formal or thematic. Formal interpretants involve a relation of equivalence. In translations, this would refer to “a semantic correspondence based
on dictionary definitions or philological research, or a particular style, such as a lexicon and syntax characteristic of a genre” (Venuti 2007: 31). In film adaptations, the equivalence suggested by *formal interpretants* could point to a structural correspondence between the source novel and the film (Venuti 2007: 33). *Thematic interpretants* are codes and can extend from commentaries and social groups’ values associated with the translation to ideologies and political themes embedded in the translation or the adaptation (Venuti 2007: 31-33).

From the above-mentioned follows that a work of literature invites multiple re-readings as well as rewritings, which can be actualised in both translation and adaptation. Aragay (2005) finds the analogy of adaptation as rewriting apposite for the study of adaptations and she calls for insights from Translation Studies to complement theoretical perspectives in Adaptation Studies. As explained in 2.2.2., the subjectivity involved in translation renders it an interpretive activity hinging upon the translator’s style and preferences. Aragay (2005: 30) emphasises the element of agency in the adaptation process and refers to Venuti’s (1995) concept of *(in)visible translator* in order to account for the need to replace concepts like fidelity with interpretation and rewriting. Adapters realise their role as interpreting agents by making use of the available resources of expression within a new sociocultural context.

Hutcheon (2013: 84) notes that the creative transposition which takes place during a film adaptation largely depends on the adapter’s temperament and talent as well as on their “individual intertexts through which are filtered the materials being adapted”. As adapter here is meant the director and/or the screenwriter, who mainly undertake the task of adaptation, while the rest of the participants ‘report’ to the screenplay (Hutcheon 2013). Interestingly, Cobb (2008: 285) assigns the role of the filmic text’s author to the director of the film adaptation, who is analogically juxtaposed to the source novel’s author. In fact, the term *auteurism* has been used to define the privileges that the director of the film adaptation enjoys as a source of meaning and value (Palmer 2004: 270). As a result, the adapter can be assigned similar qualities and potential (in)visibility as a translator.

Furthermore, Aragay (2005) uses Lefevere’s (1982/2012) concept of *refraction* to underline that film adaptations do not merely reflect or reproduce the source novel but reinterpret it in new circumstances. Lefevere (1982/2012: 205) defined *refraction* as “the adaptation of a work of literature to a different audience, with the intention of influencing the way in which that audience reads the work”. In light of this definition, it can be assumed that,

4 From the French word “auteur” (i.e. “author”).
similarly to different translations highlighting different aspects of a text, film adaptations offer different readings of a cultural product; these readings can be overtly or covertly linked to previous texts and contexts which in turn are reflected on the given adaptation.

This reinterpreting activity evidenced in adaptation has been traced in translation as well. Venuti (2007: 28) remarks that such an interpretive outlook has its roots in “a hermeneutic concept of language as constitutive of thought and determining reality”. This means that both translations and adaptations approach their respective source with the aim to anchor its meaning against the values and beliefs of the translating/adapting culture. According to Steiner’s (1975/2012) hermeneutic motion, the transfer of meaning entailed in a translation between a source and a target text is a two-way relation which ultimately enriches and enhances the source text. This dialectic reciprocity depends on the translator’s interaction with the texts as well as on the distance established between source and target texts. In other words, the interplay of meaning assignment and negotiation with people as well as contexts arises in both translation and adaptation.

In fact, Venuti (2007: 30) remarks that a characteristic common to both translation and adaptation is the recontextualising process that they set in motion. House (2006) refers to translation as recontextualisation where stretches of language are taken out of their earlier context and are placed in a new context with new values and communicative conventions. Similarly, adaptation relocates a narrative in a new medial and socio-temporal context. Recontextualisation involves in both cases the emergence of a new network of intertextual relations, a receiving intertext and the creation of a new context of reception (Venuti 2007). Translations and adaptations are promoted within this new context by means of marketing strategies and different kinds of commentaries, all paratexts and contextual factors which can further condition the experience of the marketed texts, as argued in Chapter 3. Chandler (2007) points out that meanings of texts and relations between texts also depend on audience members and on their own understanding and interpretive mechanisms. Therefore, adaptation is reinterpretation on the part of adapters and audiences alike.

The discussion above indicates that reinterpretation is closely related to the makers and the receivers of adaptation as well as to the new context in which the adaptation is situated. Therefore, the dialectic process which takes place between texts (i.e. the source material and the adaptation) now includes a bidirectional communicative act between texts and users, given that users (both on the production and on the reception side) attribute their own meanings to the adapted text. As any form of communication, this re-interpretive communicative act is also
dependent on context in all its spatiotemporal and sociocultural facets. Thus, it seems reasonable to assume that reinterpretation is inextricably linked to recontextualisation.

2.2.5. Adaptation, recontextualisation, communication: the ‘denouement’

Casetti (2004) suggests that there is a discursive exchange between novel and film adaptation and defines adaptation as recontextualisation of the text and as reformulation of its communicative situation. More specifically, Casetti (2004: 82) posits literature and film as sites where discourses are produced and circulated, and thus signify meanings considered as possible (thinkable) and feasible (legitimate) by the given sociocultural community. Furthermore, he emphasises that adaptations give rise to a communicative situation by means of “the reappearance, in another discursive field, of an element (a plot, a theme, a character, etc.) that has previously appeared elsewhere” (Casetti 2004: 82). In other words, the discursive event of an adaptation is informed by the current sociocultural context and assigns a new meaning to that of the source novel. This in turn creates a dialogue between text and context and also enriches the identity of the source text, which links back to a hermeneutic motion present in adaptation, as explained earlier.

As Casetti (2004) explains, the filmic transposition of a literary work arises from the emergence of new discursive formations, while Carroll (2009) emphasises that adaptation is a product of the surrounding discourses. This point can be seen as giving rise to the study of film adaptations as “a set of discursive (or communicational, or semiotic) practices” positioned in a general historical context which includes previous discursive practices (Cattrysse 1992: 62). In a similar vein, Corrigan (2014) remarks that the study of adaptations should encompass the dialogue between adaptation practices and the surrounding context because this dialogue provokes meaningful questions on a social, cultural and ideological level. As already mentioned, context plays a crucial role in the reception of adaptations (Leitch 2008). What is more, as adaptations shift cultures and at times languages, they reveal much about the public, economic, cultural and aesthetic status quo of the respective eras (Hutcheon 2013: 28). At the same time, the interplay between past and present adaptation practices within a given context can further determine the production and the reception of adaptations.

The above-mentioned highlight the multifaceted communication initiated by the adaptation as a process and as a product. As a process, adaptation fosters a dialogue between the context of the source material and the sociocultural circumstances that accommodate the product of adaptation. As a product, adaptation contributes to the inter-textual dialogue by inviting the renegotiation of ideas transmitted by the source material and the adaptation, under
the light of the given status quo. Ultimately, the ways in which such reinterpretation reaches
the audience are dependent on the various factors that monitor the recontextualisation
manifested through the adaptation.

In line with the above, Venuti (2007: 30) notes that recontextualisation in adaptation is
a complex process because there are different media, traditions and practices involved. This
process is informed by the human agents participating in the adaptation’s production, by
economic and political factors and by beliefs and values present in the institutional and systemic
context that accommodates the adaptation. Such factors influence the adaptation process and,
more importantly, the interpretation of both the adaptation and of the text it is based on. As a
result, the recontextualisation can be so thorough and the filmic medium so multidimensional
that the resulting interpretation may overwhelmingly superimpose the audience’s experience of
the source material (Venuti 2007: 30); hence the disappointment that viewers of film
adaptations often feel.

At this point, it is worth noting that the multiple inter-relations and discursive exchanges
between the realms of literature and cinema seem to converge into what Wallin (2013) calls
megatext. The megatext consists of all the overt and covert bonds and associations between the
film adaptation and its model (Wallin 2013: 127). By recontextualising the source novel, film
adaptations feed into it and create a complex network of intertextual relations; these are not
formed only between the novel and the film, but they extend to any material that has informed
the novel or the film adaptation, such as myth archetypes, epic poems or release advertisements
(Cobb 2008; Hutcheon and O’Flynn 2013; Wallin 2013).\(^5\) This network ultimately changes the
lens through which the literary model is viewed, as multiple prisms are supplemented and create
a totality of intertextual associations.

Film adaptations renegotiate the issues dealt with in the source novel in order to
accommodate them in new temporal and social conditions. As Nicklas and Lindner (2012) note,
the meaning of the source is re-actualised and re-animated through the adaptation in a new
context. Leitch (2008) further underscores the importance of the context accommodating
adaptations. More specifically, he stresses that the reinterpretation incited by adaptations
largely depends on “the institutional contexts within which a given adaptation, and adaptations
in general, are made available to [the audience] and identified as such” (Leitch 2008: 117).
Leitch (2008) adds that adaptations allow audiences to reflect on the messages conveyed by the

---

\(^5\) This remark highlights the role of the paratexts, further explored in Chapter 3.
source text and test their assumptions against those communicated by the adaptation. In this way, adaptations introduce new reading strategies through which views on social reality are reinterpreted and re-stabilised (Leitch 2008: 116). Venuti (2007) concurs that the very differences introduced by a film adaptation encourage a critical understanding of the adapted material. As a result, any value judgements that rely solely on fidelity are thus deemed obsolete and inoperative because they ignore historical contingencies and the dialogic relationship between the adaptation and contexts of production and reception (Venuti 2007: 35). On the contrary, both novel and adaptation are distinct entities and forms of art which enrich each other through the relations that connect them, extending their dialogue over to new temporal and social contexts.

Defining adaptation as recontextualisation invites an investigation of the narrow and the wider context in which the adaptation is produced and received. This suggests taking into account the inner workings of the film industry as well as the concentric systemic circles which link the adaptation sub-system with other sub-systems and, by extension, with the polysystem of a given sociocultural community. These issues are explored in the following section.

2.3. In a polysystem (not so) far away
In a similar line to theorists like Casetti (2004) and Venuti (2007), Hutcheon (2013) argues that the decisions involved in the adaptation process often rely on factors pertinent to genre and/or medium conventions, political engagement and public history. This could also imply that the very selection of material to adapt pertains to the sociocultural needs and demands of a given period. For example, the events of World War II were reflected on the relationship between literature and cinema in that emphasis was placed on the emergence of technological and industrial resources and on people’s desire to conquer nature and space (Corrigan 2012: 26). In addition, the particulars of film adaptations may be dictated by stylistic strategies and cinematic conventions of a period (e.g. the inclusion or dismissal of flashbacks, as was observed in one of the film adaptations of the corpus; see Chapter 5). According to Andrew (2000: 37), adaptations play a crucial role in film practice and production as they address an era’s cultural needs and pressures; therefore, adaptations seem to hold a pivotal position in the film system and, more broadly, in the polysystem of a culture.

Adaptation appears to serve a systemic role like translation does. Similarly to translation and its own position in the literary system (Even-Zohar 1978/2012), adaptations can also introduce new genres. Even-Zohar (1978/2012: 163) argues that “when new literary models are emerging, translation is likely to become one of the means of elaborating the new repertoire”.

38
Put differently, when literary practices and genres are new to a cultural polysystem, translation can contribute to solidifying these while introducing new poetics and techniques (Even-Zohar 1978/2012). As analogous to this function of translation Cattrysse (1992) posits the example of *films noirs* adaptations and, more specifically, the private eye *film noir*. According to Cattrysse (1992: 59), when adaptations deal with a film genre in need of renewal, the conventions of which have been outdated in the current film system, adaptations serve an innovative function as they introduce new conventions relevant to the film system of a period. What is more, in this case, the literary system is revamped as well, as literary conventions are revitalised through the cinematic adaptation (Cattrysse 1992: 59). It follows then that film adaptations give rise to cinematic models and partake in the overall cultural production of a given period.

### 2.3.1. And then there was the film industry

Cartmell (2012) remarks that adaptations have been a staple of the film industry since the early days of cinema. Therefore, the interaction of the adaptation sub-system with other sub-systems of cultural production seems to be well-ingrained in the formation and development of the cultural polysystem. Additionally, given adaptation’s links with literature and cinema, it can be argued that adaptation has evolved into a hybrid sub-system defining in part the literary and the cinematic ones. Murray (2008/2012) underlines that the exchange between literature and cinema entails a two-way flow of commercial and cultural capital, which all the more contributes to the consumption of both media. The characters with whom audiences are acquainted in the film often acquire a physical and psychological profile that is evolved through reading the book or through various “tie-in” editions, novelizations, published screenplays and “making-of” books (Murray 2008/2012: 372). Therefore, these “tie-ins” extend and elaborate the limits of literary and cinematic texts and allow audiences to further engage with the fictional world. These texts can be subsumed under a cultural product’s paratextual material, which can help deconstruct production and reception aspects of adaptations (see Chapter 3).

Of course, adaptation as a sub-system is also subject to regulating energies at work in the film industry. In fact, adaptation as process, product and practice seems to be monitored by similar ‘control factors’ as those encapsulated in Lefevere’s *patronage* (1982/2012). This will become clearer after a brief breakdown of the components of the film industry which will also highlight the multifaceted agendas involved in the decision-making process of adaptation.

According to Halsey, Stuart & Co. (1985: 199), the structure of the film industry resembles that of typical American industries. More specifically, the three phases of film *production, distribution* and *exhibition* correspond to activities of industrial *manufacturing*,
wholesaling and retailing respectively. Production monitors the economic aspect of film-making, regulating details that range from the machinery used within the film to the actors’ salaries. A crucial component of the economic makeup of film-making, also related to production, is the cast of the film.

The actors, and especially the “stars”, serve as a “production” value, as a “trademark” value and as an “insurance” value for the film producer (Halsey, Stuart & Co. 1985: 204): the names of well-known actors act as a first lure to the audience, promising and often guaranteeing financial success, based on their previous works. Connections between the adaptation and other texts are facilitated and exploited by the Hollywood system through the use of leading actors as signifying objects; the information surrounding the actors and the film’s release results in a network of inter-relations and associations which could potentially increase the ‘viewability’ of the film. According to Kernan (2004), film trailers also exploit the multi-textual trajectory of the cast and the audience’s interest in the actors involved (further discussed in Chapter 3). In this way, they capitalise on the double prestige actors enjoy as real-life people with whom spectators can identify and as celestial personas always at an incommensurable distance from the audience. Furthermore, Hutcheon (2013) supports that, when watching a film adaptation, viewers operate in a context of interpretation which includes their knowledge of both the adapter and the featuring actors. This is how novel and film adaptation are linked in a wider context which includes the information surrounding the characters of the book, the ways in which they are represented onscreen and the information around the adapter and the actors as real people, transferring their acting experience and personal characteristics onto the film adaptation.

As regards the other two branches of the film industry (i.e. distribution and exhibition), Huettig (1985) describes their inter-relation as follows:

First, there is the relationship between a major producer and theater operators not affiliated with his [sic] company. Second, there is the relationship within a major company among the various departments of production, distribution, and exhibition. The intracompany relationship is the more important with respect to the kind of films made, since contact within the organization is much closer than contact between the unaffiliated exhibitors and producers.

(Huettig 1985: 289; emphasis in the original)

Film-making is a process which involves many agents and, thus, many levels of decision-making. Furthermore, even the unaffiliated exhibitors can influence the commodification of the
films to be made thereby monitoring advertisements in the press and other media (Huettig 1985: 289). As Huettig (1985: 292) underlines, there seems to be a constant ‘conflict’ between the commercial and the artistic nature of film-making: directors wish to employ their artistry and experiment with new techniques, while exhibitors attempt to exert a more conservative influence, by implementing elements that have successfully worked in the past. This further relates to the synergy of innovative and conservative forces at play in the promotion of a film (see Chapter 3).

From this follows that the film industry is an elaborate system the operation of which is collectively regulated by many agents. The agendas involved often appear disparate, each trying to outperform the other with the purpose of serving different interests. This picture seems to mirror the literary system as described by Lefevere’s patronage (1982/2012) (see below).

2.3.2. The literary, the cinematic and the patrons

According to Lefevere (1982/2012: 205), literature is “a contrived system, i.e. it consists of both objects (texts) and people who write, refract, distribute, read these texts”. As already noted, refraction is the adaptation of a literary work to the expectations of the target audience and, more broadly, to the target culture; by means of this adaptation, the work becomes more easily accessible to the audience of that culture. ‘Adaptation’ is here used to signal an audience-targeted and context-minded treatment of a literary work. In a similar vein, Vandal-Sirois and Bastin (2012) argue that adaptation can be posited as functional translation in that it addresses a communication situation and caters for the needs of the target audience and culture. As an example of refraction, Lefevere (1982/2012: 205) mentions Brecht’s play Arturo Ui, the English production of which established Brecht’s reputation in England posthumously. Performed plays themselves are types of intersemiotic translation, adapting to the norms of performativity and spectacle.

Drawing a parallel between literature and cinema, the film system is also found to be comprised of objects (i.e. audiovisual texts) and people, namely producers, distributors, exhibitors, as well as the audiences that watch the film. In the case of film adaptations, the system includes those who refract the source texts, i.e. the material on which the adaptation is based, and these are the directors and/or the screenwriters. Consequently, a film adaptation can be viewed as a refraction in that, when a literary work is adapted for the big screen, it undergoes changes so as to fit the filmic conventions and offer a fresh reinterpretation of the literary source.
Moreover, Lefevere (1982/2012) notes that a translation is also a *refraction* trying to carry a work of literature over from one system into another. This process involves a degree of compromise between the two systems; a compromise which represents the dominant constraints in these systems and which depends on “the reputation of the writer being translated within the system from which the translation is made” (Lefevere 1982/2012: 206). Similarly, it can be argued that the changes related to the adaptation of a novel into a film stem from the constraints imposed by the nature of the media involved, as explained in 2.2.2., and/or the prevalent conventions of the two systems. These changes may also pertain to how famous the author of the source novel is (see the case of the 1974 adaptation of *The Great Gatsby* in Chapter 4). For example, if a classic work of literature is adapted into a film, the core of the narrative may undergo fewer changes compared to the adaptation of a novel of a lesser-known writer (Corrigan 2012: 438). This could also explain the negative critique targeted at films that were assumed to ‘distort the spirit’ of the book; as happened, for example, with the *The Scarlet Letter* (Joffé 1995). Therefore, following Lefevere’s definition of *refraction* and applying it to adaptation, a film adaptation can be defined as a *refraction*, and by extension as a *translation*, in that it carries a narrative from the literary system over to the film system. By analogy, the changes occurring in the adaptation process, i.e. the *adaptation shifts*, reflect the compromises made between each system’s dominant constraints.

The affinities between the literary system and the film industry extend to the *patronage* at work in both. According to Lefevere (1982/2012: 206), *patronage* is the influence exerted by the regulatory body in the literary system, while it also influences the position and circulation of translations in the wider sociocultural context, often determining the books to be translated. Patronage consists of an *ideological*, an *economic* and a *status* component. The *ideological* component requires that literature generally be in step with the other systems in a given society. The *economic* component ensures the writer’s livelihood and the *status* component reflects the writer’s recognised position in society and in cultural trade. Mapping these types of patronage onto the film system, it can be argued that the *ideological* component in this case entails the messages that are to be conveyed by films and, thus, it may influence the adaptation process accordingly. The *economic* component is to be assigned to the production aspect of the film industry (as outlined in the beginning of this section), which includes the promotion and the casting of the film. Finally, the *status* component in the film industry refers to the reputation of the producer and the director; in the case of adaptations, it can include the reputation of the source novel’s author.
From this follows then that all components of patronage can have a decisive impact on film-making and, more specifically, on the adaptation process. Lefevere (1982/2012: 206) further points out that “patrons rarely influence the literary system directly; critics will do that for them”. This echoes the unaffiliated exhibitors’ indirect influence in the film industry (Huettig 1985: 289), as previously mentioned. Film reviews hold a prominent position in the exhibition phase, as they both advertise and interpret the given film, while fostering the habit of movie-going (in relation to the reviewed film or others which might be deemed worthier). The role of reviews in the film system is further discussed in Chapter 3. Arguably, in both the literary and the film system, reviews and advertisements play an important part in the circulation and reception of the texts involved.

In fact, reception seems to be pivotal in the position that adaptation as product may hold in the film system and, in turn, in the wider cultural context or polysystem. The increasingly active role of audiences raises proportionally the pressure exerted by audience approval. In other words, given that audiences, both film critics and lay cinema-goers, can make or break a given film with their reviews, now published in multiple online outlets, audiences seem to act as patrons as well. As Cattrysse (2014: 242) points out, the abundance of online media provides an immense body of data to analyse the ways in which adaptations are perceived and received. Thus, much emphasis is to be placed on the reception of adaptations.

As previously argued, viewers come to understand the adaptation in their own unique ways, based on their own experiences and sociocultural knowledge (Leitch 2008; Venuti 2007). According to Corrigan (2012: 48), the “digital turn” of adaptation allows audiences much more interaction with the text. As Corrigan (2012) explains, the development of DVDs and computer technologies has led to a privatisation and customisation of film-watching, which is now analogous to the private experience of book-reading. Gaining control over the pace and place to watch a film adaptation, contemporary audiences can now more actively engage with the messages conveyed thereby.

Furthermore, the appropriation, reworking and recirculation of cultural meaning mainly through the usage of a “second screen” has led to a non-ending experience of social viewing (Casarini 2014: online), which resembles Allen’s (2000) observation on the postmodern era. Allen (2000: 182) refers to this era as a period where people experience arts through their technological reproductions and where reality is “something which is partially created by the media through which it is represented”. The means nowadays available for reshaping and circulating texts assign great power to audiences who, in this way, create a reality adjusted to
their own liking. Audiences interact with (source and adapted) texts and become producers of meaning, contributing to “convergence culture” (Corrigan 2012; Jenkins 2006). As Benjamin (1936/2012: 156) notes, the age of technological reproduction allowed recipients of messages to gain access to authorship. Despite referring to a different era, this statement aptly applies to contemporary audiences. In fact, Carroll (2009) highlights the active role of audiences in the appropriation of meaning communicated by the filmic product. This phenomenon, which she calls *retrospectatorship*, is defined as “a cultural practice of subversive consumption whereby a seemingly passive spectatorship actively transforms what it consumes” (Carroll 2009: 44).

It is worth noting that the freedom new technologies offer to viewers runs parallel to the cognitive pleasure derived from filling in gaps in a book. As noted in 2.2.1., readers engage with the literary text by imagining the full details of what is recounted, based on their experiences and knowledge. Video games based on films (or film adaptations) similarly allow users to become co-producers of the narrative, while 3D film adaptations colour settings and characters more vividly. Thus, viewers feel part of the fictional world and engage with the provided interpretation from a vantage point closer to that of a participant rather than that of an observer. Moreover, as Benjamin argues, “the technology of reproduction detaches the reproduced object from the sphere of tradition” (1936/2012: 148; emphasis in the original). Although Benjamin wrote at a time when technological reproduction had just started taking place, his comments can apply to the current age of technology-mediated reality. Novels that are adapted and recontextualised no longer bear a static position in a literary past; they acquire a dynamic mobility through their contact with new media of social experience, responding to needs of contemporary audiences.

The discussion so far has shown that contemporary theories of adaptation move away from comparative analyses based on the impossible attainment of fidelity and point towards an approach addressing economic, historical, commercial and industrial conditions of adaptations (cf. Cartmell 2012; Cattrysse 2014; Hutcheon 2013; Leitch 2008; Murray 2012). There now seems to be a sociological spin to adaptation approaches which arguably marks a ‘cultural turn’ in Adaptation Studies similar to that of Translation Studies during the 1980s. The focus is shifted from texts to context and to the role of adaptations as cultural entities in relation to the people that engage with them as well. Nevertheless, as Cattrysse (2014: 19) underlines, a consistent method for studying (film) adaptation has not yet been developed. This project aims at contributing to the methodological systematicity of adaptation analysis from a hermeneutic
point of view which links adaptations with the context in which they are produced and received. This is further elaborated in the following section.

2.4. Cut to the present (project): adopting a hermeneutic approach towards adaptation

The hermeneutic approach in the present project examines adaptation as transfer of meaning in a new text and context and places emphasis on the intricate network of production and reception. Adaptations are the means for filmmakers to make their own statement creatively and socially through manipulating the discourse of the source text (Leitch 2003/2012: 114). Film-making has been paralleled to writing, where the filmmaker assumes the role of the author, writing with his/her camera instead of a pen (Astruc 1968/2012: 183). Auteurism was used as a term in the 1950s to define film direction as an act of writing; in adaptations, it signifies the adapter’s “creative take on pre-existing literary materials” (Boozer 2008/2012: 212). Thus, adapters use the camera to rewrite the source text in a new context and for a new audience. Alternatively, this can be viewed as a process of ‘redrafting’, since meanings are reinterpreted and renegotiated with every adaptation. It can be argued then that conceptualising adaptation as recontextualisation also means recognising the political role of films, and arts in general (Benjamin 1936/2012).

Analysing adaptations from such perspectives is more attainable than measuring their value against a hopelessly fallacious criterion of fidelity. Notably, Wollen (1972/2012) argued that the criteria of film judgement in general had to change due to their stagnant invariability and uniformity. He also maintained that the notion of definite interpretation needs to be replaced by an emphasis on the productivity of a work (Wollen 1972/2012: 197). Boozer (2008/2012) adopts a similar line of argument in regard to film adaptations; he remarks that the comparative cataloguing between the two media hinders any preoccupation with the “film’s immersion in its own particular cultural and historical moment” (Boozer 2008/2012: 204), accentuating the theoretical impasse in adaptation study.

It becomes clear then that adaptations work in a hermeneutic way and not in a referential or representational one. Put differently, adaptations act as platforms of constant renegotiation with values, texts and contexts and do not merely represent or reproduce the source material. Drawing upon the affinities between adaptation and translation, adaptation can now be approached as a recontextualised act of intermedial, intercultural (and interlingual) communication. This approach takes into account the economic and sociocultural context as
advocated by Leitch (2012) and Murray (2012). More specifically, Leitch (2012) urges for a definition of adaptation which emphasises intentionality and reception and which focuses on the intertwining motives and interests of adaptations. Murray (2012) proposes an approach which will study adaptations in relation to various industry stakeholders so as to investigate the mechanisms of adaptation production, marketing and release. In a similar vein, Elliott (2012: 153) calls for “intricate analyses of specific aspects of adaptation running across genres, media, historical periods, nations and disciplines”.

The viewpoints above suggest that adaptations need to be examined as textual entities and as cultural products within a specific socio-temporal and cultural environment. As Elliott (2014) puts it, adaptation needs to be redefined in cultural and formal terms and thus calls for hybrid methodologies which touch upon formal, cultural, textual and contextual aspects of adaptations. In fact, Elliott (2014: 584) remarks that adaptation needs to be broadly viewed as an intercultural or interhistorical transfer not necessarily involving a change in medium. At the same time, the fact that adaptations encapsulate similarity within difference can enhance such textual-cum-cultural approach to the study of adaptations. Raitt (2010: 54) emphasises that both concepts of sameness and equivalence can be viewed as consistent with difference. Leitch (2012) underscores that the status of adaptations as same-but-different can serve as a tool for identifying production and marketing strategies of cultural products in general. Elsewhere, Leitch (2008: 117) points out that adaptation is “the master Hollywood genre that sets the pattern for all the others” because of its institutional trajectory in the film industry. More specifically, he argues that even films which were not originally produced or marketed as adaptations are frequently re-released and re-packaged as such within DVD box sets (Leitch 2008: 116). Therefore, it can be argued that a holistic approach to adaptation analysis as the one outlined above can be sketched out to other areas in the creative industries in order to examine the workings of cultural production in its broad sense.

The present project builds on the above-mentioned theoretical insights in Adaptation and Translation Studies and adopts a hermeneutic perspective to adaptation as recontextualisation. This approach appears to belong to what Elliott (2014: 585-586) calls “contextual textualism”, in that the focus lies on “the ways in which contexts inform and inhere in texts rather than solely [on] how they construct them from without”. Similarly to Elliott (2014), Murray (2012: 11) suggests that the study of adaptations needs to examine the “how” and “why” of adaptations. Put differently, Adaptation Studies appears to embrace a text-in-context approach but seems to actually lack the tools for such an analysis which would
capitalise on the multifaceted communication realised through adaptation (as argued in 2.2.5.). In light of this and of the above-mentioned parallel developments in adaptation and translation theories, Translation Studies is posited as a discipline that can provide the theoretical insights and the methodological tools for a systematic analysis of adaptations.

In summary, adaptation analysis needs to look into some nodal questions around adaptations, namely “how” and “why” adaptations are as they are, according to Murray (2012: 11). However, before exploring the ‘how’ and the ‘why’, it is necessary to explore the ‘what’, that is, the adaptation as text and product. For this reason, it seems useful to firstly embark on comparative analyses of source material and adaptation in order to identify aspects of reinterpretation and recontextualisation, and then proceed onto understanding them. To this end, the following questions by Corrigan (2012: 438) can prove insightful:

1. To what extent are the details of the settings and plot accurately retained or recreated?
2. To what extent do the nuance and complexity of the characters survive the adaptation?
3. To what extent are the themes and ideas of the source communicated in the adaptation?
4. To what extent has a different historical or cultural context altered the original?
5. To what extent has the change in the material or mode of communication [...] changed the meaning of the work for a reader or viewer?

(Corrigan 2012: 438)

Although at first glance the questions above may echo fidelity considerations in the comparison between novel and film, in this project, they are taken as a starting point towards the investigation of adaptation as a new product reinterpreted and hermeneutically placed in a new context. The questions above touch upon aspects of both the text and the context of adaptations as well as the bidirectional relation of adaptations with their source material. What is more, reception on part of the audience of both source and adapting text is also included in this inquisitive equation. As a result, the issues highlighted by contemporary adaptation theorists could be addressed through an adaptation analysis which examines Corrigan’s (2012) questions with the following means.
To investigate the ‘why’, this project relies on the theoretical insights developed so far in this chapter. An answer as to ‘how’ to examine the ‘what’ pertains to the methodology of the present project. As explained in Chapter 3, given that adaptation needs to be both described and interpreted, a model developed for the study of adaptations needs to fulfil this twofold purpose. Therefore, the adaptation model developed in this project looks into the adaptation shifts and attempts to explain them. Furthermore, given that adaptation can be configured as a form of translation, part of this model is based on van Leuven-Zwart’s (1989) model of translation shifts. Although a full-fledged discussion of methodology is included in the following chapter, an introduction to van Leuven-Zwart’s (1989) model as used in translation is deemed necessary.

As mentioned in 2.2.2., early developments in translation theories were preoccupied with the dichotomy between literal and free translation; these two approaches were ultimately viewed as two ends of a continuum with a gradual scale in between. In other words, a translation could be more or less literal or more or less free, rather than either literal or free. Vinay and Darbelnet (1958/1995) refer to two parameters which can point towards the literal or the free end of the spectrum, i.e. servitude and option (see 2.2.2.). Their discussion also touches upon the translation shifts that appear in the target text as a result of the adopted approach, while Catford (1965) puts forward a comprehensive taxonomy of translation shifts. Along similar lines, van Leuven-Zwart (1989) establishes precise definitions of shift categories in order to describe and compare translations of literary texts.

In van Leuven-Zwart’s model (1989: 154-155), translation shifts are examined on various levels of micro-textual analysis, i.e. on a semantic, stylistic, syntactic and pragmatic level. The model is quite detailed and bears a text-oriented focus, as contextual factors are not taken into account. Nevertheless, there is an attempt to link shifts of the micro-structure to the macro-structure of the text. Micro-structural shifts dissect the source and target texts in terms of grammar and semantics; these are examined through the comparative component of van Leuven-Zwart’s model. On the other hand, macro-structural shifts apply to broader narrative units, such as characterisation and point of view. In van Leuven-Zwart’s model, the analysis of macro-structural shifts draws upon Systemic Functional Grammar (Halliday 1973) and examines how the interpersonal, ideational and textual functions are realised on the story level and on the discourse level of the narrative (van Leuven-Zwart 1989: 173). These functions have also been explored with regard to the meaning-making processes in static and dynamic multimodal texts (cf. Baldry and Thibault 2005; Kress and van Leeuwen 2006; O’Halloran 2004).
As far as van Leuven-Zwart’s shift categories are concerned, they are identified against a common denominator between the source text (ST) and the target text (TT). This common denominator is based on the denotative meaning of the examined word and is called *architranseme* (*ATR*). The ATR is a necessary condition in order for shifts to be identified (van Leuven-Zwart 1989: 159). The ATR can be semantic or pragmatic. Shifts apply to specific parts of source and target texts, i.e. the transemes, and are labelled according to the relationship between each of the transemes and the ATR (van Leuven-Zwart 1989: 158-159):

a. If there is no difference between the transeme and the ATR, then there is a *synonymic* relationship between them. If each of the transemes bears a synonymic relationship to the ATR, there is a synonymic relationship between the two transemes as well; in this case, there is no translation shift.

b. If only one of the two transemes has a synonymic relationship to the ATR, then there is a *hyponymic* relationship between the two transemes. This is a *modulation* shift.

c. If both transemes bear a hyponymic relationship to the ATR, then there is a relationship of *contrast* between the transemes. In this case, there is a *modification* shift.

d. If no relationship can be established between the two transemes, it means that there is no aspect of conjunction. When this happens, there is a *mutation* shift.

An accumulation of such micro-structural shifts leads to salient shifts in the macro-structure of the text, which covers the following:

[T]he nature, number and ordering of the episodes, the attributes of the characters and the relationships between them, the particulars of events, actions, place and time, the narrator’s attitude towards the fictional world, the point of view from which the narrator looks at this world.

(Van Leuven-Zwart 1989: 171)

It needs to be noted that van Leuven-Zwart’s model has been criticised as a cumbersome heuristics for shift analysis due to its level of detail and its complexity of shift categorisation (Hatim and Munday 2004: 31). In addition, another problematic aspect of this model seems to be the definition of the ATR as a *tertium comparationis* against which translation shifts are identified (Hatim and Munday 2004: 32). The *tertium comparationis* is seen as an invariant form of meaning, independent of both source and target text, which can assist the transfer of meaning in the translation (Munday 2012: 76). The implications that arise from such an ‘independent’ comparator pertain to the subjectivity which is inevitably involved in translation (as explained in 2.2.2.); hence the vulnerability of van Leuven-Zwart shift analysis.
Despite the shortcomings entailed in van Leuven-Zwart’s intricate model, the detailed analysis of shifts was assumed to contribute to a systematic study of adaptation. Transferring the configuration of shifts to the area of adaptation was a challenging endeavour because there are no tangible aspects of conjunction to identify (e.g. quantifiable shifts of grammar or syntax). As a result, some adjustments were necessary in order to cater for the multimodal narratives at hand. One of these was abandoning the notion of ATR or common denominator, thus bypassing a weakness underlying van Leuven-Zwart’s model. The shift categories and types of the adaptation model do not match completely those of van Leuven-Zwart’s. Nevertheless, the rationale of labelling the shift types bears some resemblance to her categories. In the adaptation model, modulation shifts imply that there is an aspect of conjunction between the source novel and the adaptation in that the adaptation foregrounds or underplays aspects which already exist in the source novel. On the other hand, modification shifts entail an element of contrast or contradiction, in the sense that shifts of this type usually change radically the aspects examined; thus, modification shifts pertain to notable changes in the narrative. Finally, mutation shifts suggest that certain elements are absent from either the source material or the adaptation.

Interestingly, van Leuven-Zwart’s macro-structural shifts look into the narrative units which have been deemed medium-independent and can thus be examined in novels and films alike (cf. Andrew 1984; Bordwell 2004; Chatman 1990; Genette 1980). This theoretical common ground between Translation, Film and Adaptation Studies serves as the basis for the integrated adaptation framework, which is discussed in the following chapter.
3. Methodology

This chapter focuses on the ways in which the present project aims to tackle the research gap identified towards the end of Chapter 2. Section 3.1. situates the project within the overall context of film adaptation, presenting and explaining the Research Questions that are to be addressed in this project. In 3.2., there is an overview of the different types of research material used in this project. This is also accompanied by the rationale behind the selection of the research material. Following this, section 3.3. outlines the framework within which the research problem is approached and on the basis of which the model of adaptation analysis operates. This model, firstly introduced in Chapter 2, derives from the similarities of phenomena that translation and adaptation examine and is discussed in detail in 3.4. and in 3.5. Finally, the chapter concludes with the procedure of data collection, preparation and analysis, thus preparing the ground for the following chapter.

3.1. Aim and Research Questions

This project aims at examining film adaptation, i.e. the transposition of a literary work into a cinematic product, as a type of intermedial and intersemiotic translation. More specifically, the transfer of narrative from novel to film that takes place in film adaptation is approached as a translational act in line with the affinities between the two processes, as advocated by theorists in both fields alike (cf. Milton (2009) and Venuti (2007) in translation; Aragay (2005) and Cattrysse (2014) in adaptation).

The film adaptations of this project belong to the genre of romance, and some of them can be classified as romantic comedies. Broadly speaking, the salient characteristic of romance is a “developing relationship between heroine and hero” (Radway 1991: 122). However, as further explained later on, alongside the romantic core, the films of the corpus present subplots which draw upon sociocultural themes prominent in the context of production and reception of the adaptations.

The genre of romance has attracted much attention in literary criticism (cf. Echart 2010; Grindon 2012; Lamprinou 2012; Radway 1991). As Abbott and Jermyn (2009: 2) remark, although the genre has been regarded by theorists and critics as synonymous to oversimplified narratives and easy reads, it has demonstrated an ample diversification of interests and social issues since the 1990s. Films of this genre have been regarded as being of lesser importance and artistic status because they presumably lack plot complexity and offer easy, uncomplicated pleasure (McDonald 2007: 7). Romantic comedies, in particular, have been disparaged by film
theorists. Nonetheless, they have attracted much interest from a social perspective as a popular cinematic genre (Abbott and Jermyn 2009; Kendall 2002) and they have been found to reflect or engage in a social debate over the role of family, marriage and women in the social context (Echart 2010; Glitre 2006). Deconstructing the ‘romantic story’ as a narrative in novel and film could shed light on the key ingredients that accord the genre such popularity.

In addition, romantic comedy is a genre central to the study of film adaptations since the early days of the field. According to Cartmell (2010: 227), Jane Austen’s *Pride and Prejudice* can be posited as the “archetypal film adaptation”, given that it has drawn much attention as a work to be adapted, since it has inspired manifold adaptations, as well as an adaptation product to be studied. Cartmell (2010) further remarks that *Pride and Prejudice* can be viewed as the prototypical Hollywood romantic comedy. This is a genre which continuously evolves and its conventions are shaped as belonging to a shared cultural landscape (Abbott and Jermyn 2009: 3). It can thus be argued that romantic comedies reflect the values of the social context in which they are produced and received, which in turn can affect the adaptation process. Moreover, contrary to the widely held assumption that romantic comedies address mainly female viewers, the issues and ideas they deal with can actually be aimed at both genders (Echart 2010; McDonald 2007). In fact, even though romantic comedies usually revolve around a female character, one of the film adaptations of the corpus features a male protagonist (as will be explained in 3.2.1.), which affirms the above remark that romantic comedies can target both genders as their prospective audiences. It is also worth noting that the film as a medium by default appeals to a wider range of audiences compared to the book. As a result, some of the adaptation shifts observed in the examined adaptations may be independent of genre and could thus be found in other adaptations as well.6

Although this project focuses on a specific genre, the tools used to examine the adaptation shifts can be applied to the study of other genres as well. This means that the categories and tools construed to resolve the research problem at hand can potentially be transferred to the investigation of other issues within the fields of Translation Studies and Adaptation Studies. Thus, this project contributes to adaptation-related research in a twofold manner: it looks into ways of bridging Adaptation Studies and Translation Studies and it develops appropriate methodological tools so as to systematically analyse the adaptation process. The Research Questions (RQs) of this project can be summarised as follows:

---

6 This is a potential area for future research, which will be further discussed in Chapter 7.
1. What are the changes that take place in the adaptation process of a romantic novel?
2. How can these changes be systematically explained?
3. What theoretical tools can Translation Studies provide so as to analyse these changes?

The first RQ focuses on the changes that occur in the transfer of a romantic novel to the big screen. Put differently, one of the issues to be firstly examined is what aspects of the narrative undergo more or less extensive changes when cinematically transposed. The second RQ follows naturally from and complements the first one, seeking to investigate the potential rationale behind these changes. Finally, the third RQ builds on the suggested synergies between Translation Studies and Adaptation Studies and looks into the tools that the former field can lend to the latter so as to enhance the methodological coherence of adaptation analysis.

It can be argued that the Research Questions discussed above encapsulate those posed by Corrigan (2012: 438), as outlined in 2.4. Therefore, the RQs examined in this project address the need to systematically analyse the adaptation process and pinpoint the aspects which change in the adaptation product. To provide an answer to these questions, micro- and macro-analytic approaches are fruitfully combined in the adaptation model developed in this project, leading to an integrated framework for the study of adaptations in general; this can include other genres and types of adaptation as well (e.g. TV adaptation, radio adaptation, novelisation). Adaptation is thus approached from a holistic hermeneutic point of view which takes into account textual and contextual factors (cf. Elliott 2014). Such an approach is expected to provide a methodological contribution to the field of Adaptation Studies, which seems to be currently lacking (Cattrysse 2014). More specifically, the project develops systematic categories in order to analyse and interpret the adaptation shifts. Such systematicity can strengthen the study of adaptations, which has so far often focused on the semiotic differences between literature and cinema or on isolated case studies (Cartmell 2012). The present project aims at bringing together these prescriptive and descriptive approaches thereby systematically examining the interplay between texts, contexts and agents that takes place in adaptation. In more general terms, the aim of this project is to identify patterns of behaviour in the process of film adaptation and, if possible, to analyse these patterns with the aid of translation-derived tools.

3.2. Research material

The research material of this project consists of two main types, namely the novel-film pairs and their relevant paratexts. As far as the film adaptations are concerned, the corpus includes five film adaptations, one of which is a case of a re-adaptation, i.e. one source novel and two film adaptations of it. The re-adaptation case allows for examining the recontextualisation
process entailed in adaptation (see sub-section 2.2.3.) from a sociocultural and a spatiotemporal perspective. Such analysis parallels re-adaptations to retranslations and can thus give rise to changing values and conventions and their impact on cultural products (Venuti 2004). As regards the paratexts, these cover the industry-produced and/or user-generated verbal and audiovisual texts accompanying novelistic and filmic products.

3.2.1. The film adaptations

As noted in 3.1., the novels and their respective adaptations belong to the romance genre, the chief characteristic of which is emphasis on a couple and, more generally, the dynamics developing among the characters (McDonald 2007). The overall narrative and the function associated with the genre of romance rely heavily on characters and interpersonal relations. The ways in which these elements are manipulated in novel and film can elicit important findings as to how themes, concepts and the personalities of the individual characters are re-conceptualised in new circumstances. What is more, such analysis can shed light on the inter-medial representation of fictional personae and their relation to sociocultural reality.

The corpus includes the following film adaptations: *P.S. I Love You* (LaGravenese 2007), *The Notebook* (Cassavetes 2004), *Silver Linings Playbook* (Russell 2012), *The Devil Wears Prada* (Frankel 2006) and two adaptations of *The Great Gatsby*, a 1974 one by Clayton and a 2013 one by Luhrmann. The table below illustrates the source novels and adaptations of the corpus:

<table>
<thead>
<tr>
<th>Novels</th>
<th>Film adaptations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Title</strong></td>
<td><strong>Author</strong></td>
</tr>
<tr>
<td><em>The Notebook</em></td>
<td>Nicholas Sparks</td>
</tr>
<tr>
<td><em>The Silver Linings Playbook</em></td>
<td>Matthew Quick</td>
</tr>
<tr>
<td><em>The Devil Wears Prada</em></td>
<td>Lauren Weisberger</td>
</tr>
<tr>
<td><em>The Great Gatsby</em></td>
<td>F. Scott Fitzgerald</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 1: The source novels and adaptations of the corpus

As can be seen in the table above, apart from *The Great Gatsby*, the source novels and the film adaptations are relatively modern, produced in late 20th or early 21st century. This makes it possible to examine the adaptation process in contemporary literature, which has been under-researched, as Adaptation Studies has mainly focused on classics such as the works of Shakespeare and Jane Austen. In addition, with the exception of *The Great Gatsby*, and perhaps *The Notebook*, most adaptations were produced relatively soon after the publication of the
respective book. At the time of corpus selection, *The Notebook* was the highest-grossing adaptation of Sparks’ novels, 11 out of 19 of which have been adapted into films (Duplisea 2013); hence its inclusion in the corpus. Moreover, it is the mostly referenced one in later adaptations of Sparks’ novels.

The two film adaptations of *The Great Gatsby* were chosen in order to examine this case of re-adaptation as a parallel to retranslation and to investigate the ways in which different socio-temporal conditions influence the reinterpretation of the same narrative. Although the source novel does not bear distinctive features of the romantic-comedy genre, as the other novels of the corpus do, both film adaptations of *The Great Gatsby* were promoted as narratives with a great love story at their core (ParamountmoviesDigital 1974; Roadshow Films 2012a; Roadshow Films 2012b; The Trailer Home Podcast 2013). In addition, given that the subject-matter of *The Great Gatsby* continues to be topical, resonating with the recent socio-economic recession, the adaptation process is all the more interesting to examine in this case. The first film adaptation of the novel was a silent film released in 1926 and the novel was re-adapted in 1949, 1974, 2000 and in 2002, before Luhrmann’s adaptation in 2013 (greatgatsby n.d.). The reason why the 1974 and the 2013 film versions were selected for the corpus pertain to the availability of relevant paratext. In addition, the temporal distance between the novel and the 1974 adaptation and between the 1974 and the 2013 adaptations spans approximately half a century, which arguably allows for considerable recontextualisation in temporal and social terms. Furthermore, the 1974 film version is the most oft-quoted adaptation in the paratext of the 2013 one, thus invoking and reinforcing an intertextual comparison between the two. The 1926 film adaptation was not included in the corpus as it was a silent black-and-white film. This means that the inherently different film-making techniques in this case would have impeded the consistency of the analysis of *mise-en-scène* and cinematography; examining this film would require different analytic tools the development of which goes beyond the scope of this project.

In all the cases above, the speed with which a text is adapted, translated or retranslated/readapted may be telling in regard to how compelled the adapter/translator feels to recontextualise and reinterpret the text for a new audience. Another reason for selecting these adaptations is the different nuances of character representation. The female character portrayals,  

---

7 *Mise-en-scène* can be defined as “the contents of the frame and the way that they are organised” (Gibbs 2002: 5); cinematography together with the *mise-en-scène* describes cinematic composition (Wharton and Grant 2005: 47).
in particular, present noteworthy cases for examination. As pointed out earlier, the genre generally targets female audiences, featuring mainly female protagonists. Nevertheless, the manipulation of female characters in the selected novel-adaptation pairs is assumed to be especially noteworthy in terms of recontextualisation of genre as well as narrative.

Although the examined adaptations belong to the same umbrella genre, there are differences between them, such as the delivery style (e.g. first-person vs. third-person narration), the gender of the protagonist and, more importantly, the overall character portrayal of the protagonist. As previously mentioned, romantic comedies are mainly directed to female viewers, even though male audiences may be targeted as well (McDonald 2007). Given the centrality of gender to the genre and the affinities between adaptation and translation as processes, it can be assumed that gender may undergo changes in adaptation similar to those that occur in translation. Put differently, gender can be differently represented in adaptation, as has been observed in translation (cf. Asimakoulas 2012; De Marco 2012; Mazdon 2000; Simon 1996).

Identity and gender, in particular, are sociocultural constructs which develop and consolidate through discursive reiterations, one of which is language (Litosseliti and Sunderland 2002; Wharton 2012). Research in Translation Studies has shown that gender can be subjected to further manipulation in translation according to the literary or social project at hand (Simon 1996). This means that gender stereotypes and notions of dominance/subservience, which may already be inscribed in the source language, are themselves translated through the meaning-making resources of the target language and culture (Asimakoulas 2012). The manipulation of gender may also depend on the value system of the target culture and on the political and ideological agenda of the agents involved in the translation. The same can occur in audiovisual translation as well. According to De Marco (2012), different cultural conceptualisations of gender can influence its linguistic representation in subtitling and dubbing. Moreover, she notes that women are frequently subjected to an androcentric manipulation in audiovisual products, where they are usually objectified and presented as conforming to social clichés (De Marco 2012: 41). Bergman (2014) makes a similar remark in regard to the female protagonist of Larsson’s novel The Girl with the Dragon Tattoo (2008), whom she finds overly sexualised in the graphic novel adaptation. Extending these observations to film adaptation, it can be argued that the above-mentioned ideological interests and the visual meaning-making devices afforded by film can lead to gender manipulation in adaptation as well.
Similar observations have been made for the use of gender stereotypes in literature, while Milestone and Meyer (2012: 8) call gender as “one of the key social structures in contemporary culture”. Mills (1995) notes that literature employs specific stereotypes to foster the process of meaning-making on the readers’ part. More specifically, Mills (1995: 124) maintains that novels tap into stereotypes as a kind of shorthand so as to enable readers to resort to their *literary competence*, i.e. conventional signals like those invoked through the description of clothes and facial characteristics, in order to shape up the characters’ profiles. Rather than providing an exhaustive physical or emotional portrayal, novels leave many details to be inferred and completed by the readers. As a result, there are relevant expectations as to how characters would look, speak and sound in their cinematic incarnations. Arguably, these stereotypes may be further exploited by means of the cinematic and visual techniques. According to Boozer (2008/2012: 203), although the threshold of description provided in the book can delimit the spectrum of casting options in the film adaptation, more often than not the director’s intent towards the source material eventually determines whether an actor’s physical appearance and/or performance is adjusted to the script or vice versa. Physical appearance admittedly can serve stereotype promotion or subversion. For example, the *fragmentation* of the human body may be exploited cinematographically in order to foster the sexualisation, objectification and depersonalisation of female characters, thus promoting the concomitant gender stereotypes (Mills 1995: 126).8

As explained in 3.1., gender can play an important role in the genre of romance, given that such novels and films are assumed to involve and address a gender-specific audience. This section has so far discussed the ways in which gender can be subverted and manipulated in different forms of translation and artistic creation. In what follows, the source novels on which the adaptations of the corpus are based are introduced by means of brief plot synopses. Given that changes to the plot are one of the aspects examined in the data analysis of the adaptations, the synopses pertain to the plot of the source novels; thus, the respective paragraphs carry the novel’s title as a headline.

**P.S. I Love You**

*P.S. I Love You* (Ahern 2004) centres on Holly, a young woman who learns how to deal with her husband’s death. Helping her in the process are Gerry’s (her deceased husband’s) letters, which he leaves behind as a set of posthumous guidelines to be followed so that she can feel

---

8 Similar examples have been identified in the corpus (see Chapter 4).
happy again after his death. The novel uses third-person narration and follows Holly’s recovery from Gerry’s death, gradually coming to terms with her loss and feeling confident to continue living on her own. Hilary Swank and Gerard Butler play the roles of Holly and Gerry respectively, while Holly’s mother is portrayed by Kathy Bates. The roles of Holly’s two best friends hold Gina Gershon and Lisa Kudrow.

**The Notebook**

*The Notebook* (Sparks 1996) recounts the story of a couple, Noah and Allie, who meet a few years before World War II, separate and find each other again 14 years later. This story is narrated by an aged man to his female companion at a nursing home in an effort to restore her Alzheimer-affected memory. Narration shifts from first-person at the beginning of the novel to third-person for the most part of the story and the novel ends with first-person narration as well; when first-person, the narration focuses on the aged man’s point of view. The dramatic hook of the story is the relation between the two couples, which is sustained until the end of the novel. In the film, Ryan Gosling and Rachel McAdams are Noah and Allie respectively, while James Garner and Gena Rowlands portray the elderly couple at the nursing home.

**The Silver Linings Playbook**

The novel (Quick 2008) focuses on Pat, who suffers from mental health problems and tries to re-adjust into reality outside a psychiatric institution. In the book, Pat has been hospitalised for about four years, after an episode of extreme violence against his then wife’s lover. After being discharged from the clinic, Pat dedicates his new life to improving himself physically, intellectually and spiritually, so as to impress his now ex-wife Nikki when he finally meets her. On his way to recovery appears Tiffany, the sister of his best friend’s wife; Tiffany also suffers from psychological problems. She promises to act as a liaison between Pat and Nikki on the condition that Pat dances with Tiffany at a dancing competition. The story is narrated from Pat’s perspective as he writes in his diary; the confessional tone creates an intimate relation with readers. Narration is in the first person throughout the novel, while at times the style resembles the stream-of-consciousness narrative mode, with Pat’s thoughts registered in writing as they spring to his mind. In the cinematic transposition of the book, Bradley Cooper and Jennifer Lawrence play Pat and Tiffany respectively, while Pat’s parents are portrayed by Robert De Niro and Jacki Weaver.
**The Devil Wears Prada**

In *The Devil Wears Prada* (Weisberger 2003), Andrea (mainly called “Andy”) recounts her experience of working as a personal assistant for Miranda Priestly, the editor-in-chief of the fashion magazine *Runway*. Andy views her work for Miranda as a stepping stone to a successful career as a journalist. She expects that she will acquire the necessary professional experience in the process, while eventually taking advantage of Miranda’s connections in the publishing industry. However, it soon becomes clear that being Miranda’s assistant is a challenging job, especially due to Miranda’s belittling behaviour and unreasonable demands. Emily is Miranda’s senior assistant and Andy’s colleague and always tries to make excuses for Miranda’s behaviour, even though she sometimes gets upset with her as well. Although Andy initially despises the mentality of people working in the fashion industry, she is gradually immersed in the corporate culture and embraces the hectic schedule and the immaculate façade. At the same time, she starts to neglect her family and friends, which takes a toll on her personal life. The story is narrated in the first person, from the female protagonist’s perspective (contrary to *The Silver Linings Playbook* which features a male protagonist). In the film adaptation of the novel, Anne Hathaway, Meryl Streep and Emily Blunt portray Andy, Miranda and Emily respectively.

**The Great Gatsby**

*The Great Gatsby* (Fitzgerald 1925) is the story of Jay Gatsby, a man who throws lavish parties attended by New York’s political and artistic elite. Gatsby remains a mystery to his guests, as nobody has seen him or knows anything about him apart from the wild rumours that surround his name. Gatsby’s story is narrated by Nick Carraway, who is Gatsby’s neighbour and ultimately his only true friend. Nick is the intermediary for readers, as everything that they get to know about the characters reaches them through Nick’s perspective. Moreover, Nick is the mediator between Gatsby and Daisy, Gatsby’s long-lost love and Nick’s cousin. Daisy and Gatsby once had a short-lived romance, which ended abruptly when Gatsby left for the war and Daisy married ‘old money’ Tom Buchanan. In the 1974 film adaptation, Robert Redford and Mia Farrow are Gatsby and Daisy respectively; Sam Waterston is Nick and Bruce Dern is Tom. In the 2013 version, these roles are portrayed by Leonardo DiCaprio, Carey Mulligan, Tobey Maguire and Joel Edgerton respectively.

The next section focuses on the paratexts that complement the source novels and their adaptations. Paratexts play a crucial part in the experience of cultural products. The inclusion of paratexts in the research material provides an empirical insight into the adaptation shifts. As a result, the analysis of paratexts helps to deconstruct the rationale behind the adaptation.
process, on the one hand, and to examine reception aspects of the cinematic transposition, on the other. Put differently, paratexts are used in the present project as a tool contributing to the interpretation of the observed adaptation shifts. Sub-section 3.2.2. begins with a theoretical introduction to the concept of paratexts, from which it will become clear that paratexts serve a conditioning function with respect to one’s interaction with the texts they accompany. Subsequently, there will be an overview of the paratextual material used for the interpretation of the adaptation shifts.

3.2.2. The paratexts

Genette (1997b) defines paratexts as textual elements which arise from a given literary text and assign particular significance to it but are not integral to the text itself. According to Nord (1995), paratextual elements such as titles and headings serve communicative functions which comply with literary and genre-specific conventions. As a result, the translation of these elements should also agree with the relevant expectations and norms in the target sociocultural context (Nord 1995: 265). Moving from verbal to audiovisual texts, Gray (2010) emphasises the framing function of paratexts, which thus serve as “filters through which we look at, listen to, and interpret the texts that they hype” (Gray 2010: 3). Paratexts advertise and enrich the experience of the related product thereby indicating how texts are (or should be) related, interpreted and enjoyed; hence the huge expenditures on officially-distributed paratexts (e.g. film trailers, promo teasers and advertising posters).

Following the above-mentioned definitions of paratexts and combining these with genre-generated expectations (also discussed in 3.1.), it can be argued that genre can hold a paratextual role as well. The notion of genre shares the framing function of text-derived paratexts in that the classification of a text as belonging to a specific genre (or not) can create a set of expectations with regard to the narrative and the target audience involved (as happens with the genre of romance – see section 3.1.). According to Gray (2010), genre can function paratextually because, being a label attached to a text, it carries a set of characteristics and assumptions which also frame the text. Genre is one of the key elements that figures in any promotional campaign and acts as a form of shorthand in order to direct the audience’s interpretation. As explained later, film trailers resort to genre conventions as well in order to set expectations and promote movie-going.
Genres can work as strong paratexts because they frequently enjoy communal definition and widespread use, and because they are cultural categories used by the industry, reviewers, audience members, politicians and policy makers alike, often with a relatively shared or at least dominant definition at any given point in time.

(Gray 2010: 51)

Chandler (2007) tallies with Gray (2010) in that genres connote pre-established assumptions and expectations. According to Chandler (2007: 202), genres can be seen as sign-systems or codes because they are conventionalized but dynamic structures and provide audiences with an intertextual framework which conditions the experience of texts. As a system of codification which depends on the community that uses it, genre places texts within a broader social context which is both construed by commercial variables and controlled by the audience’s individual experiences (Bignell 2002). In regard to television-watching, Bignell (2002) notes that viewers of TV programmes resort to a range of extratextual resources when engaging in such a social activity.

[Viewers] draw on their histories, their cultural, class, racial, economic or sexual identities, and use their media knowledge of comparable programmes and the various information sources available to them, to construct a relationship with the television programme in the context of their cultural lives.

(Bignell 2002: 174)

It can be argued that Bignell’s observation holds for all texts, be they verbal or audiovisual. As pointed out in Chapter 2, the interpretation of a text differs from individual to individual because they tap into different experiences and sources of knowledge in order to understand the text (cf. Leitch 2008; Venuti 2007).

Genre can be deployed as an additional layer of meaning and assumed knowledge carrying a paratextual and an intertextual value further influencing the interpretation as well as the promotion of texts. As Bignell (2002: 198) puts it, the advertising of a film places it in an intricate network of meanings, some of which may not be controlled by the film’s producers. Understanding these meanings is a socially negotiated process, dependent on changing conventions and expectations. In addition, Bignell (2002) remarks that genre places films in a delicate balance between two contradictory forces, repetition and difference: films of a specific genre are related to each other by means of some common characteristics, but a film may also subvert the conventions of its genre. Films repeat the established conventions and codes of a given genre in order to ensure comprehensibility on the part of the audience; on the other hand,
films also experiment with the conventional genre associations in innovative manners so as to offer the pleasure of the ‘new’ (Bignell 2002: 200). Genres are thereby negotiated in the broader creative and social context of film-making and in creative industries, in general. This equilibrium between similarity and difference can be traced in film adaptations as well; adaptations are fundamentally based on a difference-through-similarity concept in that they evoke a familiar narrative but in a different context of experience (Hutcheon 2013; Leitch 2012). The “narrative image” (Carroll 2009: 38) of the source material is thus informed by new cultural and institutional practices as well as by the various paratexts.

The discussion so far indicates that paratexts – in all their forms – are a crucial heuristics of the film industry, exploited in many phases of the film-making process. As pointed out in Chapter 2, adaptation can be seen as a process of communication which includes the people involved in the production and in the reception of the examined texts. Therefore, it seems reasonable to distinguish two general categories of paratexts, i.e. those that pertain to the production side of the book-writing and the film-making industry, on the one hand, and those that derive from the audiences of the given texts, on the other. A further classification is provided by Gray (2010). Gray (2010: 18) distinguishes between entryway and in medias res paratexts, “the first being those that we encounter before watching a film or television program, the latter those that come to us in the process of watching or at least interpreting the film or program”. According to Gray (2010: 35), entryway paratexts determine a priori one’s experience with the text in question, while in medias res paratexts condition or influence the interpretation of a text after the initial interaction with it. Interestingly, entryway paratexts such as film trailers, teasers, posters and DVD covers may serve communicative functions similar to those found in titles and headings (Nord 1995). These and similar paratexts distinguish the film from others (distinctive function), are recognisable as film titles (metatextual function), attract the audience’s attention (phatic and appellative function), underline the film’s most important characteristics (informative or referential function) and give the director’s touch on the story (expressive function).

It can be argued that Gray’s (2010) entryway and most of in medias res paratexts are production-oriented paratexts. Film trailers, previews, advertisements and other promotional materials are entryway production-oriented paratexts: they create expectations and fill a text with speculative meaning which may be confirmed or revised upon actual experience (Gray 2010). In contrast, bonus materials accompanying a DVD, such as the director’s commentary and deleted scenes are in medias res production-oriented paratexts. More specifically, the
director’s commentary acts as a conceptual filter through which the film can be experienced and processed. In the case of film adaptations, the commentary can have an impact on the experience of the source novel as well, since it may impose the adapter’s re-reading over that of the viewer’s. Another type of *in medias res* production-oriented paratexts, somewhat under-researched at that, is the deleted scenes collection which often comes as part of a DVD’s bonus material. Deleted scenes create an audiovisual (temporal or psychological) extension to scenes and characters of the adaptation and, potentially, of the source novel. Put differently, the deleted scenes illustrate what would have happened if a particular moment of the book was cinematically transposed and expanded. Moreover, the deleted scenes may add layers of characterisation by depicting characters engaging in actions which are neither part of the source novel nor of the end adaptation product. At the same time, this DVD extra material gives a privileged insight into the backstage of the film and, as a result, acts as conspiratorial leverage for one to purchase the DVD.

As Gray (2010: 83) points out, these bonus materials, which may also include interviews with the film’s cast and crew, production stills and making-of clips, serve the creators’ intention to impute the text with authenticity and exert control in its interpretation. In a similar vein, Lunenfeld (2004: 384) maintains that such added features enhance the “promotion of the intentionalist fallacy”; they expand on the industry’s marketing mechanisms thereby imposing an interpretation which in turn delimits the audience’s reading of the filmic text. However, as soon as these paratexts are consumed, they may as well serve as platforms for further negotiation with the text’s meanings, thus perpetuating the intertextual dialogue.

A particularly influential type of production-oriented paratexts is the film trailer. Kernan (2004) calls trailers a cinema of coming attractions. This appellation highlights the promotional discourse employed in trailers as well as their narrative nature. Kernan (2004) underlines that trailers appeal to audiences’ expectations of genre, story and actors and address their prefigured assumptions of the film industry and the star system in order to promote the film (see also subsection 2.3.1.). As already briefly mentioned, trailers refer to genre conventions in order to frame expectations and promote movie-going, which perforce relies on expectation-management (Gray 2010: 71) and on relationality (Kernan 2004: 74). In other words, by promoting a film’s generic characteristics, a trailer asserts that the film belongs to the film system yet it stands out from other films of the same genre.

Trailers deploy a rhetoric which corresponds to spectators’ identities, as these are constructed and negotiated socioculturally and ideologically. For this reason, “trailers utilize
enthymemes, or deliberately incomplete syllogisms, which rely on implicit assumptions that the audience is enjoined to ‘fill in,’ thus becoming complicit with the advertising argument” (Kernan 2004: 40; emphasis in the original). This echoes Gray (2010) and Lunenfeld (2004) in that paratexts by design frame the expectations of audiences. Furthermore, film trailers tease prospective viewers by presenting a finely edited selection of the most spectacular scenes of a film. In this way, they act as an anticipatory device, promoting the given feature film and encouraging movie-going in general (Kernan 2004). According to Kernan (2004), trailers constitute a hybrid genre, as they combine many of the rhetorical devices often found in advertisements (along with the associated ideological and institutional implications) and an appeal to narrative elements, such as plot and characters. She also posits rhetorical discourse as the appropriate means for analysing film trailers and identifies the following common characteristics:

Most trailers have in common a few generic features: some sort of introductory or concluding address to the audience about the film either through titles or narration, selected scenes from the film, montages of quick-cut action scenes, and identifications of significant cast members. (Kernan 2004: 9)

Information on the film’s producer and/or director and their most well-known films can also be added to the list. In this way, trailers make an explicit intertextual reference to other films and locate the film within the broader film system thereby identifying its generic characteristics while singling it out from similar films. Trailers trigger inferential mechanisms as they invite viewers to reconstruct the narrative of the full film through well-glued segmented scenes. Kernan (2004) points out that trailers are very similar to advertisements in this respect, given that advertisements also call for meaning construal through the extratextual knowledge they draw upon (or presuppose). In the case of film trailers, the referent systems employed include the body of social knowledge and a body of specific cinematic conventions, appealing to a set of desires and expectations on the audience’s part. Among their cinematic codes are “voice-over narration, sound and sound overlapping, music, graphics, and most importantly, editing, or montage” (Kernan 2004: 10); as a result of these cinematic devices, trailers ultimately have a different narrative logic compared to the film, a logic that relies on discontinuity and under-determinacy so as to be fully comprehended.

As noted in 2.3.1., the rhetoric of film trailers draws upon the “trademark” value of stars (Halsey, Stuart & Co. 1985), i.e. information of actors both as successful professionals and real-
life people, so as to appeal to prospective audiences. Therefore, trailers exploit the multifarious network of interpretation within which viewers experience a film and its protagonists (Hutcheon 2013). As Kernan (2004: 63) remarks, trailers employ the systematised and semiotically dense process of mythologisation endorsed by publicity mechanisms. Fictional character and star persona are usually conflated and, as a result, the character portrayal acquires its meaning partly in relation to the actor’s previous roles and partly to the extratextual knowledge surrounding the actor as a member of the star system. This is the mythic value of actors, according to Grant (2002: 59), and encompasses their real-life personae and the characters they have previously impersonated.

What is more, in the case of film adaptations, trailers often highlight the fact that the promoted film is based on a best-selling “presold” property or story (Kernan 2004: 60). By emphasising the prefigured narrative world, trailers capitalise on the desired identification of readers, who are thereby beckoned to convert into the adaptation’s viewers. The book on which a film adaptation is based can be juxtaposed to a film trailer retroactively. More specifically, the novel creates specific expectations as regards its cinematic transposition, which may relate to the order of events, the setting or the fictional characters. If these expectations are not fulfilled in the adaptation, readers-viewers may feel the same disappointment experienced by audiences of the opinion that a given film did not match the premise established in the trailer. On the other hand, the trailer of an adaptation arguably sets the tone of the film and introduces the adapter’s re-interpretive standpoint. Therefore, trailers of film adaptations in a sense serve a similar purpose to the preface of a translation, acting as a space for the adapter to establish his/her (in)visibility in relation to the source material.

In addition, trailers circulate cinematic meanings around issues of identity and social relationships portrayed through the fictional characters, which in turn heightens the urge for empathy on the viewers’ part (Kernan 2004: 57). This also links with the audience’s desire for story, another characteristic of rhetoric used in trailers; through identifying with the characters, viewers partake of experiences and imaginary worlds which they cannot enjoy outside the perimeter of the film. At the same time, through employing the above-mentioned rhetorical devices, trailers naturalise “the inseparability of human beings from commodified relations of production and distribution” (Kernan 2004: 76), perpetuating ad infinitum the heuristics of the film industry. Both actors and audiences are therefore asked to negotiate their identities within a liminal realm of fiction and franchised reality.
The focus in this section lay so far on production-oriented paratexts. As previously mentioned, paratexts created by audiences, such as mash-ups and fan fiction, are reception-oriented paratexts. Arguably, these paratexts contribute actively to the megatext (Wallin 2013), i.e. the aggregation encompassing the bonds between source novel and adaptation (as explained in 2.2.5.). It needs to be noted that, although audiences’ engagement may be more salient in reception-oriented paratexts (e.g. reviews and fan fiction), audiences interact with production-oriented paratexts as well, as these also influence and condition the cinema-going experience. Reception-oriented paratexts contribute to the flow of narratives created by audiences across multiple media platforms, i.e. the nowadays so-called “convergence culture” (Corrigan 2012; Jenkins 2006). Convergence or participatory culture can be manifested through reception-oriented paratexts, as these are the audiences’ means to actively interact with cultural products and to be involved in the overall meaning-making process. As Corrigan (2014) emphasises, the contemporary interactive and participatory mediascape has established the reception of films as remediations and interactive exchanges, whereby audiences engage with the given text and create new meanings based on their interpretation. In fact, audience-created paratexts often constitute examples of retrospectatorship (Carroll 2009), whereby audiences actively transform what they consume.

This environment of convergence culture fosters an abundance of reception-oriented paratexts which is not to be undermined. Such paratexts can be a useful resource for gauging the reception of adaptations as well. These paratexts may range from blogs, social network fora, to videos and podcasts, all of which add further dimensions to the text, be it the source material or the adaptation. Retrospectatorship (Carroll 2009) is actively expressed in these texts, as readers/viewers comment on, reflect upon or criticise the messages communicated by a given text which they then transform or adjust to their own liking. According to Martin (2009: 88), “a new media version of a text expands the text’s boundaries, generating an additional primary text within that story’s scope”. Mash-up videos, bloopers and vids, i.e. “fan-made videos that splice and edit together multiple scenes from a film or television program with a piece of music” (Gray 2010: 20), can be considered as examples of such primary texts.

Reviews are another type of paratexts which indicate the reception of a (literary or cinematic) text. Reviews can be written by viewers as well as critics. As mentioned at the beginning of Chapter 2, film reviews play an important part in the film system. According to Bordwell (1989), film reviews are a versatile piece of writing; they may fall under the category of journalism, of advertising or of criticism and they employ traditional strategies and devices
of rhetoric in order to construe and communicate messages. One of these devices, also employed in film trailers, is the use of enthymemes, i.e. deductive or pseudodeductive arguments appealing to stereotypical assumptions often unquestionably accepted by the audience (Bordwell 1989: 37). As far as the structure of reviews is concerned, Bordwell (1989: 38) remarks that most reviews usually open with a summary judgement, followed by a plot synopsis; they then provide the reviewer’s argument about the cast, the story logic and other film-centred aspects, complemented by background information. Finally, reviews conclude by reiterating the initial judgement of the film. Although there is little room for manoeuvre with regard to structure, the reviewer’s distinctive style is the element that renders each review a singular piece of critical writing (Bordwell 1989).

From the above discussion on paratexts, it becomes clear that paratexts act as an important factor which shapes and directs the interpretation of the products they accompany. For this reason, the corpus of the present project uses paratexts of both the source novel and of the film adaptation in order to deconstruct the adaptation shifts. The following table presents an overview of the paratextual material collected for this purpose. The differences in range and variety of paratexts per text can be attributed to the fact that some of the films (and the source novels) date back to more than a decade. It is also worth noting that some films may have enjoyed a more generous promotion campaign compared to others; as a result, paratexts are more diverse in such cases.
<table>
<thead>
<tr>
<th>Source Novel</th>
<th>Paratexts</th>
</tr>
</thead>
</table>
| **P.S. I Love You** | The film trailer  
2 interviews of the film’s cast  
1 interview of the film’s director  
1 interview of the novel’s author  
2 magazine articles relevant to the film’s cast  
4 film reviews  
1 book review  
Covers of the book and the DVD |
| **The Notebook** | The film trailer  
The DVD bonus material which includes: interviews of the novel’s author, interviews of the film’s director and cast, video extracts on the film’s making-of, casting process, shooting locales and deleted scenes  
17 film reviews (by critics and viewers combined)  
A magazine article on the film  
Covers of the book and the DVD |
| **Silver Linings Playbook** | 2 film trailers  
6 film reviews  
2 interviews of the novel’s author  
7 video interviews of the cast and the director  
1 making-of video  
Covers of the book and the DVD |
| **The Devil Wears Prada** | The DVD bonus material, part of which is the film’s commentary by the director, the screenwriter, the film producer and the costume designer; the bonus material also includes interviews with these people and with the cast  
The film trailer  
8 interviews with the cast  
1 interview with the source novel’s author  
2 interviews with the film’s director  
3 film reviews  
Covers of the book and the DVD |
| **The Great Gatsby** | 1 film trailer for the 1974 adaptation and 3 film trailers for the 2013 adaptation  
14 critics’ reviews and 6 viewers’ reviews (for both adaptations)  
1 article on the novel and its adaptations until 1974  
1 magazine article on the 1974 version  
1 interview of Francis Ford Coppola  
3 articles comparing the 1974 and the 2013 film versions  
4 general articles on *The Great Gatsby*  
14 video interviews with the cast, crew and director of the 2013 film version  
The DVD bonus material of the 2013 film adaptation, where the director talks about the film’s making-of  
Covers of the book and the DVDs |

*Table 2: Paratexts per source novel-adaptation pair*
This section has presented the research material of the project, which, as explained, includes romance source novels, their film adaptations and relevant paratexts. In what follows, the focus lies on the Analytical Framework of this project, which then leads to the model developed in order to examine and interpret the adaptation shifts.

3.3. Analytical Framework

As noted in Chapter 1, this project employs a mix of quantitative and qualitative methods for the data analysis. The quantitative approach uses simple descriptive statistics in order to gauge the frequency of the different adaptation shift types (see Chapter 4). Therefore, the purpose is not an absolute quantification of the shifts but rather the identification of tendencies in the adaptations of the corpus. These frequency counts are used as a starting point for the qualitative analysis of the data (see Chapter 5), which is in line with the hermeneutic, interpretive framework adopted in the present project.

Strauss and Corbin (1998: 10) define qualitative research as “any type of research that produces findings not arrived at by statistical procedures or other means of quantification”. Quantification is arguably challenging to achieve in the present project, since some adaptation shifts pertain to aspects of verbal and visual narrative, which cannot be easily treated as countable entities. Nevertheless, as will be shown in 3.6., the qualitative data analysis has been complemented by a quantitative approach through the use of software which was used to catalogue and keep track of the adaptation shifts.

The qualitative approach used in the present dataset aligns with the main research aim, namely to explore and interpret the emerging patterns or trends in adaptation behaviours. As Strauss and Corbin (1998: 11) emphasise, qualitative research is apt for analysing experiences, behaviours, emotions, social movements and cultural phenomena, which can be interpreted rather than quantified. Therefore, given that the present project aims to identify adaptation behaviours (as pointed out in 3.1.), this type of analysis is deemed appropriate for the available research material as well as for the nature of the Research Questions posed (outlined in 3.1.). According to Strauss and Corbin (1998), the nature of the research problem is the most valid reason for choosing a particular research method.

Qualitative methods of analysis can give rise to patterns and relationships in the data which are then organised into a theoretical explanatory scheme (Strauss and Corbin 1998: 11). This is an aspect of qualitative research that is also exploited in this project. As noted in 3.1., the project has a further methodological aim of supplying analytical tools to reinforce the
systematicity in the study of adaptations. This tool, i.e. the “explanatory scheme” (Strauss and Corbin 1998: 11), is the model for adaptation shift analysis developed here, both in its descriptive and its interpretive dimension (see 3.4. and 3.5.). The model enables the identification and classification of adaptation shifts into specific categories as well as the interpretation of shifts against the enveloping context. It is expected that this model can serve as a methodological blueprint applicable to other genres and types of adaptation as well.

As regards the procedures used to organise and interpret the data in the present project, these are based on Strauss and Corbin’s (1998) Grounded Theory. According to Strauss and Corbin (1998: 12), Grounded Theory involves “conceptualizing and reducing data, elaborating categories in terms of their properties and dimensions, and relating through a series of prepositional statements”, all of which constitute an important part of qualitative research. This suggests an intensive analytical procedure and results in a theoretical scheme which is inextricably linked to the given data. As Strauss and Corbin (1998: 12) put it, “data collection, analysis, and eventual theory stand in close relationship to one another”. Theory and data are inter-related and theory is derived from the research material, which is systematically gathered and analysed. This means that the theoretical framework does not exist independently prior to the research project; it is developed along with the examined data, so it fits the purposes of the research project and, thus, the very nature of the research problem. As Strauss and Corbin (1998) remark, this is why Grounded Theory is more likely to resemble the reality reflected in the data, more so than theories derived based on abstract concepts or speculation. In this project, one of the research aims is to develop the appropriate analytical tools for investigating adaptation as manifested in the shifts of the end product and in the context-dependent considerations involved in the adaptation process. Therefore, Grounded Theory serves as a suitable analytical framework for devising a theoretical scheme in constant interaction with the data.

Furthermore, Grounded Theory can enhance the understanding of and provide a meaningful guide to action with regard to the research problem at hand. This is so because Grounded Theory allows the researcher to engage with the data and employ his/her creativity in order to interpret them and derive a theory which suits the data; creativity is involved in Grounded Theory thereby challenging the researcher “to aptly name categories, ask stimulating questions, make comparisons, and extract an innovative, integrated, realistic scheme from masses of unorganized raw data” (Strauss and Corbin 1998: 13). Although this process may suggest highly subjective findings and interpretations, it needs to be noted that theory is
simultaneously built and tested, while there is a bidirectional contribution between theoretical concepts and interpretive categories of analysis. In this way, the research process combines at once creativity and systematicity. Of course, subjectivity cannot be done away with altogether; nevertheless, the resulting interpretation is constantly juxtaposed to the data and to relevant theory in order to ensure impartiality.

In the present project, theory and data are indeed intertwined. As argued in Chapter 2, adaptation- and translation-related literature contributes to the development of the tools used to examine the adaptation process (see 3.4. below). Theory also contributes to the formation of the categories of the adaptation model applied in the project. Both the model and its categories are tailored to the specifics of this project. This agrees with the discussion in 3.1., where it was argued that adaptation as a research area calls for systematicity as well as creativity, given the lack of systematicity prevailing in adaptation analysis (Cattrysse 2014) and the creativity lying at the core of film-making (Huettig 1985). As noted towards the end of Chapter 2, part of the model draws upon van Leuven-Zwart’s (1989) model of translation shifts. This model has been adequately adjusted so as to fit the audiovisual data at hand. These adjustments enhance both the description and the interpretation of the observed adaptation shifts, enabling the hermeneutic approach to the study of adaptation adopted in the present project (as explained in Chapter 2).

More specifically, the hermeneutic model of adaptation analysis proposed in this project consists of a descriptive/comparative component and an interpretive component. The former includes the categories used to classify the adaptation shifts, whereas the latter focuses on their deconstruction. It needs to be noted that van Leuven-Zwart’s model is being used as a basis for the descriptive/comparative component. Following the tenets of Grounded Theory (discussed above), this component relies on literature related to both translation and adaptation. This literature gave rise to a set of descriptive categories which were then tested out and consolidated through the available data. In a similar vein, the interpretive component has been informed by the contextual considerations that motor the adaptation (and translation) process.

In what follows, attention is shifted onto the adaptation model itself. Section 3.4. explains the formation of the categories used to classify the observed adaptation shifts (i.e. the descriptive categories). As previously mentioned, theory, data and categories are inextricably linked and one feeds into the other. This will become clearer in Figure 1 (see 3.6.) which illustrates the procedure of data analysis. Section 3.5. focuses on the interpretive component of
the model and places emphasis on the *interpretive categories* used to account for the observed adaptation shifts.

As will be later explained, the categories of the adaptation model were gradually developed alongside the data analysis. Given the gender-centred focus of the genre, the initial stages of the project examined mainly the characterisation development in book and film. Notably, during the pilot study, the interplay between the research material and the literature was quite prominent so as to fine-tune the two sets of categories, i.e. the *descriptive* and the *interpretive* categories (see 3.4. and 3.5. respectively). Paratexts were also used at this stage in order to interpret the adaptation shifts. Furthermore, the data analysis was manual at this stage, given the relatively small body of data. It consisted in a close reading of the novel and a ‘close watching’ of the film separately from one another, while keeping observant notes comparing the book and the film; this allowed to record the most outstanding differences between the two. The film adaptation of the pilot study was later analysed through the same procedure as the other films of the corpus in order to achieve consistency in the resulting findings.

Based on the outcomes of the pilot study, the procedure was subsequently systematised. The pilot study showed that adaptation shifts could be observed in categories not included in the initial typology. These categories are the narrative aspects which the relevant literature proposed that could be studied independent of medium, discussed in 3.4.1. As far as the interpretive categories are concerned, the paratexts used in the pilot study gave rise to categories of reasons that could explain the observed shifts (see 3.5.). As the later stages of data analysis did not disprove these reasons nor suggested additional ones, the interpretive categories were kept as such, reinforced both by literature and by production- and reception-oriented paratexts as well.

The following sections discuss in detail the two components of the adaptation model proposed in this project.

### 3.4. The descriptive/comparative component of the adaptation model

As already noted, this component draws upon van Leuven-Zwart’s (1989) model of translation shifts and aims at systematising the analysis of the adaptation shifts. Due emphasis should be placed on the fact that the categories, albeit inter-related, are not absolute. Given that the notion of categorisation has been charted in the literature as adaptable to the experience that needs to be classified (Rosch 1978; Taylor 2003), categorisation in this project is also relative as the
phenomena it classifies. Nevertheless, this also means that the categories are relatively flexible and can be applied to other cases of adaptation as well.

3.4.1. Categories of adaptation shifts

As explained towards the end of Chapter 2, the model uses van Leuven-Zwart’s labels for the adaptation shift types, namely “modulation”, “modification” and “mutation”. These types are mapped onto narrative units which literature has shown that are common to both books and films. This will become even clearer in what follows, where there will be an overview of the descriptive categories in which shift types are applied. Subsequently, sub-section 3.4.2. will discuss the adaptation shift types that emerge in the respective descriptive categories.

The shift types “modulation”, “modification” and “mutation” are applied to the following narrative units, or descriptive categories, namely Plot structure, Narrative techniques, Characterisation and Setting (temporal and spatial). These are elements which have been found to be medium-independent. As Chatman (1990: 3-4) remarks, “plot (the double chrono-logic), character, and setting are uniquely characteristic of Narrative among the text-types [and] occur in ‘shown’ no less than in ‘told’ texts”. Chatman defines narrative as “an invention, by an implied author, of events and characters and objects (the story) and of a modus (the discourse) by which these are communicated” (1990: 119). This echoes the premise of structuralist narratology, where the main distinction lies between fabula, i.e. the “what” of the narrative, and sjuzhet, i.e. the “how”; the former is considered medium-independent, whereas the latter depends on the specificities of the medium through which the narrative is communicated (Herman 2004). Ryan (2004: 337) concurs that this “logico-semantic characterization of narrative is sufficiently abstract to be regarded as a cognitive universal” and thus found in many media forms (see also Andrew 1984; Bordwell 2004; Chatman 1990; Genette 1980). This commonality between literature and cinema can be further evidenced in the fact that these aspects of narrative have occupied adaptation theorists as well. As mentioned in Chapter 2, Chatman (1978) and McFarlane (1996) have both looked into narrative chunks that can be omitted (i.e. the story) as well as the point of view from which the narrative is communicated (i.e. the discourse). Similarly, McFarlane (1996) distinguishes between informants and the indices proper in regard to different aspects of character construal found in literature and in film.

It can be argued then that elements such as plot, in its double chrono-logic as story and discourse, characters and setting can be found in both books and films. Therefore, these narrative aspects can be used as a skeleton onto which adaptation shifts are mapped. Notably,
Andrew (2000: 34) stresses that the study of adaptations should point to the analysis of the equivalent processes of signification as realised by the different semiotic systems. In the adaptation model proposed here, this is the purpose served by the descriptive/comparative component, as it examines the narrative as communicated in the novel and in the film.

The first two descriptive categories, i.e. Plot structure and Narrative techniques, comprise combined what Chatman (1990) calls the double chrono-logic, i.e. the time during which the fictional events unfold (story) and the time during which the story is narrated (discourse). Plot structure refers to these fictional events, the story. Narrative techniques are the ways in which the events of the fictional story are communicated to the reader/viewer. The category of Narrative techniques subsumes the temporal sequence in which the fictional events are communicated and the method of presentation opted for in each medium to communicate these events. Put differently, temporal sequence looks into which event is communicated first and presentation examines the ways in which the story is communicated (e.g. through voice-over, just sequences of images or a combination of the two). Consequently, adaptation shifts can be observed in both of these two aspects within Narrative techniques.

The sub-category of temporal sequence includes Genette’s (1980) concepts of “order” and “duration” of narrative time. Certain definitions are in order here. Narrative time is the time needed to “consume” the fictional story – regardless of the medium in which the story is communicated – and is different from story time, which is the time in which the events of the fictional story unfold (Genette 1980: 34). The order in narrative time is examined with respect to “connections between the temporal order of succession of the events in the story and the pseudo-temporal order of their arrangement in the narrative” (Genette 1980: 35; emphasis in the original). In other words, order in narrative time depends on both order in story time and on the ways in which the events of the story are rearranged when communicated as a narrative. In a similar vein, duration in narrative time signifies the relation between the duration of the fictional events in the story and the duration of their communication in the narrative (Genette 1980: 35). Applying these concepts to the adaptation model, the shifts involved in the sub-category of temporal sequence in Narrative techniques refer to whether and how the film manipulates the order and duration of the fictional events communicated in the source novel. An elaboration of these adaptation shifts is provided further below.

As far as presentation is concerned, this is a term that Chatman (1990) uses in order to replace the often “too fraught with vocal overtones” notion of narration (Chatman 1990: 113). In this way, he manages to subsume the diegesis favoured by discursive arts and the mimesis.
favoured by performing arts under the overarching notion of presentation. As a result, presentation is a concept that can apply to both literature and film in order to refer to ways of narrative communication. Moreover, Stam (2005: 35) points out that films both “tell stories (narration) and stage them (monstration)”. Verbal narration in films may be achieved by means of voice-over and/or film dialogue (Stam 2005: 35). Given that cinema is an audio-visual art, monstration constitutes part of the cinematic presentation by default. As a result, in film adaptations, monstration necessarily replaces literary narration to a lesser or greater extent. What appears of particular interest is whether the visual narrative, i.e. monstration, is accompanied by verbal narrative or not in the film. This is essentially the distinction between modulation and modification types of shifts in presentation, as explained in 3.4.2.

The third category of Characterisation refers to the character portrayals used in the fictional story. Characters are the intelligent agents with whom the fictional world is populated (Ryan 2004: 337). It is worth noting that characterisation has been examined as an aspect which undergoes changes in audiovisual translation and, in particular, in dubbing, where the voice talents are asked to act out, and not merely reproduce, the target-language dialogues (Bosseaux 2015). Therefore, it is reasonable to include characterisation as a category in the case of film adaptation, which involves a higher degree of performativity and a greater re-interpretive freedom.

It is worth noting that character construal is particularly important for the genre under examination, i.e. romance. As noted in sub-section 3.2.1., an essential characteristic of the genre is the focus on a couple. Interpersonal relations are also crucial to the genre, especially because the genre has been seen as mirroring social relations of the given socio-temporal and cultural context (Abbott and Jermyn 2009; Echart 2010). Moreover, as explained in 3.1., the genre has been assumed to address mainly female audiences, while featuring mainly female protagonists. As a result, the category of Characterisation can be posited as an interesting aspect to examine in the adaptation process. However, the category need not focus on female portrayals alone. As already pointed out, some of the adaptations of the corpus feature male protagonists and all of them present multifaceted character portrayals of both genders. For this reason, Characterisation has evolved as a descriptive category since the early stages of this project, where it initially focused on the female characters of the novel-film pairs. Within this adaptation model, Characterisation refers to all characters as well as to the interpersonal dynamics evolving between them, which may also change in the cinematic transposition.
Finally, Setting is the world where the fictional events take place (Ryan 2004: 337) and it can have a *temporal* and a *spatial* dimension. This means that the concept of setting as used in this project can include the period during which events unfold, which may encompass socio-political and ideological conditions, as well as the actual place(s) of the action.

As already mentioned, the descriptive/comparative component of the proposed adaptation model uses as a point of departure van Leuven-Zwart’s (1980) model of translation shifts. More specifically, it employs the terminology of her categories of shifts and adapts them to the intersemiotic and intermedial analysis of adaptation shifts. The following section discusses these shifts within the descriptive categories outlined so far. Relevant examples are also provided to clarify the denomination of the shift types. The link between theory and data is thus pronounced, also preparing the ground for the interpretive component of the model that is to follow in 3.5.

### 3.4.2. Types of adaptation shifts

In general, as used within this model, **modulation** indicates a shift which pertains to foregrounding/back-grounding aspects of the narrative units outlined above (i.e. Plot structure, Narrative techniques, Characterisation and Setting). In other words, these aspects may appear in the source novel but are emphasised or toned down in the adaptation. **Modification** is used to refer to profound changes in the narrative units; in this case, plot, narrative techniques, characters and/or setting change radically in the adaptation. Finally, **mutation** refers to the addition/excision of narrative units in the film adaptation (see also 2.4.). The term *excision* is used by Allen (2000: 109) in describing some of the changes that may take place between a text (the hypertext) and a previous one (the hypotext) (see also 2.2.3.). As a result, the term was preferred over the most common ‘omission’ as an opposite to ‘addition’ in order to highlight the informed decision of deleting parts of the narrative in the adaptation.

**Plot structure shifts**

Plot structure refers to the events that comprise the fictional story (Chatman 1978: 43). **Modulation** in Plot structure can have two types: **amplification**, i.e. an event is highlighted in the film adaptation compared to the source novel, and **simplification**, i.e. an event is downplayed in the adaptation. For example, in *The Notebook* (Cassavetes 2004), the reunion between Noah and Allie is included in both media. However, the film presents only some of the activities that comprise the “reunion” event; thus, it simplifies it. On the other hand, the film highlights the beginning of the romance, as opposed to the novel; thus, the film amplifies this part of the story. **Modification** in Plot structure relates to events that are changed in the
adaptation, resulting in an alteration of the story in the film. Modification may occur in major events, i.e. McFarlane’s cardinal functions (1996) / Chatman’s kernels (1978), or minor events, i.e. McFarlane’s catalysers / Chatman’s satellites (1978) (see 2.2.1.). Arguably, when affecting major events, plot alterations may be more obviously registered. The term alteration is the only sub-category of modification for the categories of Plot structure and Setting; therefore, ‘alteration’ and ‘modification’ may be used interchangeably in the sub-sections below. In terms of Plot structure, mutation can have two types, i.e. the addition or the excision of events in the adaptation. The shifts in Plot structure are summarised below:

As will be shown in Chapter 4, shifts in Plot structure are closely related with those in Characterisation. Although interconnections between the narrative categories are evident throughout the data analysis, the interplay between plot and characters seems to be quite prominent in both the analysis and the interpretation of the adaptation shifts.

**Narrative techniques shifts**

As already explained, the category of Narrative techniques complements Chatman’s (1990) concept of plot in that it refers to the ways in which the events of the fictional story are communicated (while Plot structure refers to the events unfolding within the bounds of the fictional story). The category includes two further sub-categories, namely temporal sequence (i.e. the narrative time of the story) and presentation (i.e. the means of communicating the story).

Adaptation shifts in Narrative techniques supply the following configurations. With regard to temporal sequence, modulation pertains to the duration of events. In other words, modulation shifts in temporal sequence refer to manipulation of the duration of the communicated story event. In particular, the duration may be prolonged, in which case there is a pause (Genette 1980: 93), or abridged, in which case there is an ellipsis (Genette 1980: 93). In the above example from *The Notebook*, there seems to be a pause at the beginning of Noah and Allie’s relationship, but an ellipsis at their reunion, compared to the source novel.
Modification relates to the order of the fictional events; modification shifts signify changes to the order in which the story events are communicated, which may result in analepses (i.e. flashbacks) (Genette 1980: 40) or prolepses (i.e. flash-forwards) (Genette 1980: 40). As will be argued in Chapter 4, the frequent introduction of flashbacks in P.S. I Love You changes the order in which the story is communicated in book and film; thus, it results in modification shifts in temporal sequence in this case. Mutation depends on Plot structure mutation: where events are added/excised, the temporal sequence is affected accordingly.

Shifts in the presentation dimension of Narrative techniques concern changes to the mode of communication of the story. Put differently, what is examined here is whether the verbal narration of the source novel remains as such in the film or is replaced by visual narration. Of course, as pointed out above, monstration, i.e. the deployment of visuals, is inherent in the cinematic mode. Therefore, even when an event is part of the verbal narrative of the film adaptation, it is also accompanied by a degree of monstration by default. What is of interest here is the way in which the verbal and the visual modes interact and the implications of this interaction for the meaning-making processes in the adaptation. Such a case in point is included in Luhrmann’s adaptation of The Great Gatsby (see Chapter 5). When analysing shifts in Narrative techniques, reference is necessarily made to film language and the different means of expression used in audiovisual texts. Such concepts include the film sound (covering diegetic and non-diegetic soundtrack, film dialogue and voice-over narration), the mise-en-scène, cinematography and editing (Wharton and Grant 2005).

In presentation, modulation indicates that the verbal narration of the novel is rendered with verbal narration in the film: events that are communicated via first-person or third-person narration in the book are conveyed through voice-over and/or film dialogue in the film. A shift in presentation is noted as modulation when the majority of the event is communicated via narration (as part of voice-over or dialogue). For instance, in The Notebook, much of the novel’s narration describing the daily routine in the nursing home is incorporated as voice-over in the adaptation. It is worth noting that verbal narration in a film may include the music and the songs that are part of the soundtrack. Soundtrack music, in particular, contributes to a great extent to the emotional impact and perceptual effects created in a film (Kendall 2010). Although an in-depth investigation into the functions of film music falls outside the scope of this project, there are instances where the music plays a crucial role in some adaptation shifts (such instances are discussed in detail in 5.2.). Modification occurs when the verbal narration of the book is rendered primarily with monstration (visual narration) in the film: events that are ‘told’ in the
book are ‘shown’ in the film. This is frequently the case with Pat and Tiffany’s dancing rehearsals in *Silver Linings Playbook*; in the novel, they are narrated from Pat’s point of view, whereas the film often accommodates an edited sequence of dance scenes thus also propelling the plot. The terms **modulation** and **modification** in *presentation* signify what happens to narrative chunks of the source novel: if they remain part of the narration in the film (incorporated either in voice-over or in film dialogues), a **modulation** shift occurs; on the other hand, if they are directly shown, a **modification** shift occurs. As in *temporal sequence*, **mutation** in *presentation* depends on Plot structure mutation, i.e. the *addition/excision* of story events. The following figure illustrates the adaptation shifts in Narrative techniques:

It can be argued that shifts in this category relate to the inter-medial differences that inherently exist between book and film. Findings in this category are expected to confirm or revise the observations of the relevant literature in respect to the capacities of the two media (discussed in Chapter 2). Additionally, it is worth noting that shifts in Narrative techniques may impact on the plot structure (as will be shown in Chapter 4).

**Characterisation shifts**

As mentioned above, Characterisation involves the character construal of the fictional story as well as the interpersonal relationships developing between them. **Modulation** in Characterisation has two types, i.e. *amplification* or *simplification* (similarly to the modulation
types in Plot structure). Put differently, aspects of character portrayals may be emphasised or played down. For instance, in *The Devil Wears Prada* (Frankel 2006), Nigel (Miranda’s aide) is *amplified* compared to the source novel, as he becomes an important character with respect to the development of the story. On the contrary, Lily (Andy’s friend) is *simplified*, given that information concerning her background is silenced in the film, as opposed to the book. *Modification* refers to pronounced changes in characters and may result in their *dramatization, objectification* or *sensualisation*. These shifts resonate with the gender representation in book and film (see also discussion on manipulation of the female gender in 3.2.). Characterisation *modification* shifts can apply to male characters as well. It should be noted that character *modification* may include other types of shifts as well when it comes to the study of other adaptations genres. *Dramatization, objectification* and *sensualisation* are the three *modification* shift types in Characterisation observed in the film adaptation cases analysed in this project. Finally, *mutation* refers to the *addition* or *excision* of characters from the film adaptation. The Characterisation shifts are summarised in the following figure:

![Characterisation shifts diagram]

As already argued in this chapter and as will be shown in Chapter 4, characterisation is an integral aspect of the adaptation process of the examined novel-film pairs. The paratexts used to investigate the rationale behind the shifts also attest to this observation. Characters are pivotal in the reinterpretation of the source narrative both in the fictional context, where the characters are given flesh and bones on the cinematic screen, as well as in the film-making set, where real-life agents project their own intertexts onto the consummation of fictive personae.

**Setting shifts**

Setting is the time and place where the fictional story unfolds. Consequently, Setting is examined in terms of a *temporal* as well as a *spatial* aspect. In both *temporal* and *spatial* Setting,
**modulation** has two types, i.e. *amplification* and *simplification*, similarly to Plot structure and Characterisation. Put differently, aspects of the *temporal* and/or *spatial* Setting are highlighted or back-grounded in the film adaptation. For example, *The Notebook* (Cassavetes 2004) often underscores the social overtones of the period; thus, it *amplifies* the temporal Setting. **Modification** results in an *alteration*, i.e. radical change, of the Setting. *P.S. I Love You* (LaGravenese 2007) changes the setting of the story from Ireland to New York and this is a Setting modification (*alteration*) shift. Finally, **mutation** signifies the *addition* or *excision* of time periods and/or locations. The adaptation shifts in Setting are summarised below:

```
Setting
(Temporal and Spatial)  Amplification
Modulation
Simplification
Modification
Alteration
Mutation
Addition
Excision
```

As will be shown in Chapter 4, the category of Setting is particularly important in adaptations set in a different era. In these cases, the film production pays close attention to reproducing both the *temporal* and *spatial* Setting of the source material. As a result, setting as a physical shooting location is an area where the adapter’s reinterpretation is also manifested.

The discussion on shift types in this chapter suggests that there is a continuum between more and less ‘striking’ adaptation shifts. In other words, shifts may range from emphasising or playing down some narrative aspects (*modulation* shifts), through to profoundly changing them (*modification* shifts), all the way to omitting some or introducing new ones (*mutation* shifts). This continuum moves the focus beyond what needs and should be transferred in an adaptation (cf. Chatman 1978; McFarlane 1996) or what is to be considered as an *obligatory* vs. an *optional* shift. As argued in Chapter 2, similarly to translation, obligatory and optional shifts can also be traced in adaptation in terms of changes dictated by the inter-medial differences. As Doloughan (2011) remarks, the ways in which narratives are realised in different media depend on the capacities of those media as well as on the interaction between different modes within those media. More specifically, the different representation of narratives across media may depend on “a factor of mode (e.g. written or spoken), medium (e.g. print medium or screen) and the conventions of the genre (e.g. comedy or tragedy)” (Doloughan 2011: 54). As previously noted, book and film differ as media in many respects and are thus
afforded with distinct narrative possibilities and capacities. Therefore, there may be adaptation shifts which could be characterised as borderline obligatory.

Nevertheless, given the creativity involved in the film-making process and the collaborative nature of adaptation, it is difficult to draw the separating line between obligatory and optional shifts (see 2.2.2. as well). On the contrary, deciphering the ways in which the shifts reflect the vision of those involved in the adaptation appears to be a more fruitful and intriguing endeavour. According to Leech and Short (2007), creative arts need to be examined in regard to the reasons why a particular choice rather than another was made. Chatman (1990) also stresses that a work of art should be seen as “a repository […] of already made choices, which can be considered as alternatives to other choices that might have been made but were not” (Chatman 1990: 82; emphasis in the original). Literature and cinema have among others an aesthetic function as well, which draws attention to an analysis of the manner of expression and how this is manipulated to communicate the informative content. Put differently, identifying the adaptation shifts in terms of types-within-categories is the first step to pinpointing aspects of reinterpretation and recontextualisation in the adaptation. The next one is an attempt to arrive at the motivations behind these shifts. This brings the discussion to the interpretive component of the adaptation model, which is analysed in the following section.

3.5. The interpretive component of the adaptation model

This component includes three categories of reasons which can be used to deconstruct the observed adaptation shifts. It needs to be noted that these reasons were arrived at after a thorough analysis of the film adaptation used for the pilot study. The reasons were further confirmed in the rest of the corpus. Literature relevant to the translation and adaptation process had also pointed in the direction of specific reasons accounting for the shifts in the final product. As noted in Chapter 2, both translation and adaptation are poised in the broader cultural polysystem and are informed by the adjacent sociocultural flows. A preliminary data analysis confirmed these theoretical insights. Grounded Theory was once again deployed to shape the interpretive categories of this component of the adaptation model; the interpretive categories were formed on the basis of literature relevant to translation and adaptation as well as on the basis of the given dataset. The reasons included in the interpretive component are by no means exhaustive but have been found adequate to interpret the adaptation shifts in conjunction with the relevant paratexts in the present project.

As explained in 2.3.2., the film system is regulated by forces of patronage, similarly to the literary system; patronage can have an ideological, an economic and a status facet. At the
same time, according to Huettig (1985: 292), the film-making process is both commercial and artistic in nature, involving profit-making considerations as well as a flair for creativity. As argued in Chapter 2, the film industry has an economic mechanism in its core which motors its growth (Halsey, Stuart & Co. 1985). This economic aspect can be evidenced in aspects such as the marketing aiming to attract audiences, the selection of the cast and the box-office ratings.

On the other hand, according to Hutcheon (2013) and Leitch (2003/2012), the adapter’s creative licence is also present in adaptation. What is more, Venuti (2007) and Leitch (2008) underline that adaptations are largely dependent on the sociocultural context in which they are situated, while Casetti (2004) concurs that adaptations stand as sites of social negotiation.

All these viewpoints converge to parameters that may influence the adaptation process as well as the adaptation product. As a result, the interpretive categories used in this project are as follows.

**Economic reasons** highlight the commercial aspect of the film-making process and may account for the shifts from the angle of profit-making. These reasons can also be detected in the lures deployed to appeal to the audience. For instance, a well-known cast may serve as a harbinger of financial success, as explained in Chapter 2. Paratexts such as the film trailer and interviews of the cast and crew of the film may indicate the economic reasons behind certain decisions made in the making of the film. Given the omnipresent commercial interests invested in film productions, many shifts may be explained with this incentive in mind. However, this one-dimensional analysis and evaluation of the shifts seems rather simplistic. As has been emphasised in Chapter 2, creativity should not be understated as far as both translation and adaptation are concerned. Hence the following category of reasons.

**Creative reasons** focus on the ways in which the source material is re-interpreted on the big screen. This harks back to the discussion on the differences between the book and film as media and the choices available to adapters for the cinematic transposition of a novel (as pointed out towards the end of 3.4.2.). This category looks into the adapter’s creative stance and how this translates in the observed shifts. Creative reasons may also refer to the ways in which genre conventions and expectations are manipulated and how this manipulation relates to the adapter’s creative licence. Interestingly, paratexts that may help glean economic reasons can also reveal the adapter’s creative motivations. Interviews of the main agents involved in the film-making process, such as the director, the producer, the screenwriter and the actors, can prove particularly helpful in this respect. Of course, it cannot be denied that these interviews may form part of the broader marketing campaign. Nevertheless, they can also serve as
platforms where the creativity of the people involved in the adaptation can be traced. Creativity may be inspired by current affairs as well and the recontextualisation of adaptations may suggest social overtones. This tallies with many theorists’ remarks, as mentioned in Chapter 2, and gives rise to the following category.

*Social reasons* pertain to the interplay between a given sociocultural and spatiotemporal context and the adaptation. By means of this category, adaptation shifts can be examined in relation to the treatment of social issues between source material and adaptation. Moreover, a social issue may be introduced afresh in the adaptation if it is topical enough for the time and place in which an adaptation is released. This goes back to the adapter’s reinterpretation and creativity but further encompasses any social concerns that the adapter may project onto the recontextualised version of a source material. Apart from the paratexts already mentioned, which can shed light on social motivations as well, reviews by film critics and audiences can prove insightful, too. Arguably, such paratexts may also add meaning layers not intended by the adapters; nevertheless, this is all the more telling as to the ways in which an adaptation is understood by both producing and receiving parties.

As can be seen from the discussion so far, adaptation shifts can be examined and interpreted by multiple angles and some categories of reasons may overlap. There is no one-to-one relationship neither between shifts and reasons nor between reasons and paratexts. This all the more attests to the intricate relations between shifts, reasons and paratexts and, in turn, between the adaptation product, the agents involved and the surrounding context of production and reception.

The following section describes the procedure followed in the analysis of the data and concludes with a figure presenting the stages of the analysis (Figure 1).

**3.6. Procedure for data collection and analysis**

This section presents the procedure of collecting, preparing and analysing the data in the present project. It needs to be noted that this process was not always linear, especially in the early stages. As already mentioned, in order to test out the methodological validity of the descriptive categories used for the shift classification, a pilot study was initially conducted. The pilot study focused on the film adaptation *P.S. I Love You* (LaGravenese 2007). Towards the end of section 3.3., the discussion centred on the ways in which the model and its categories were developed based on the relevant literature as well as on the examined dataset. In this section, attention is
shifted onto the ways in which the data were collected and coded by means of a qualititative analysis software, which enabled a systematic analysis of the data.

As far as the data collection is concerned, the novels were collected as print versions and the films were publicly available (e.g. on bobnational.net). The paratexts were collected from both print and electronic sources. For example, the book and DVD covers were instances of print paratexts (see Appendix 4) and the DVD bonus materials were used as digital paratexts. Apart from paratexts that were part and parcel of the texts, the collection of paratexts also relied on electronic resources (e.g. on search engines like Google and on the video-sharing website YouTube). As mentioned in 3.2.2., some texts offered a wider variety of paratexts than others either because they enjoyed a more extravagant marketing campaign or because they were more recently produced. In all cases, the aim was to collect a sufficient body of paratexts that could offer an insight into both the production and the reception side of the adaptation. As a result, paratexts included material that focused on the agents involved in the publishing and film industry as well as on film critics, audiences and commentators. Of course, it cannot be argued that all available paratextual material was collected. On the contrary, the selection process followed a criterion of relevance and non-repeatability. In other words, the collected paratexts were assumed to be relevant to the Research Question they were employed to answer (i.e. how to explain adaptation shifts) and each paratext offered a viewpoint which was not exactly repeated as such in another paratext. For example, where a member of the cast talked about their reinterpretation of a character in two interviews, with similar phrasing, only one of these interviews was used. Similarly, the selection of reviews did not include all positive or all negative reviews available, but an indicative number (of both positive and negative reviews by critics and viewers) which was thought to represent the main reception trends among both professional film reviewers and ordinary cinema goers.

As noted in 3.3., the data processing was primarily manual at the early stages of the project. More specifically, the novels were closely read and the films closely watched while keeping comparative notes. This was the first step of data preparation in the main data analysis phase as well. Put differently, novel and film were closely read and watched respectively before embarking on the coding process. This allowed me to acquire an overall impression of the two narratives and made the analysis more focused. At this stage, the analysis was bolstered by means of a qualitative analysis software, i.e. Transana.

Transana is a computer programme that enables the qualitative analysis of large collections of text, still image, video, and audio data. Therefore, as a qualitative analysis
software, Transana allows for a detailed analysis and management of audiovisual data. It was firstly created by Chris Fassnacht and later adapted by David Woods for its first release in 2001 (www.transana.org). Transana was deployed for the main data analysis in order to systematise the procedure. As can be seen in Image 1 below, this programme allows for working with video files (V) simultaneously with text (T) and audio data (A). In this way, it enables the alignment between moving image and text, which can be a transcript or notes. In this project, the text consisted mainly in notes. The notes involved a basic description of the moving image and brief comparative/contrastive analyses with the source novel. As a result, it was possible to approach the available data from several analytic views and to explore how the different sources of data interacted with each other. Although, thus structured, the notes mixed elements of description with elements of subjective interpretation, this annotation system helped elicit themes which were then corroborated by the available paratexts, at the stage of shift interpretation.

![Image 1: Screenshot from the analysis of The Notebook in Transana](image)

For the data-coding stage, films and paratexts were imported in Transana. Paratexts which were available as video files (e.g. film trailers, video interviews) were subjected to a coding process similar to that of the films. Paratexts in text format (e.g. reviews, commentary articles) were logged as text files. This is elaborated upon later in this section.

The video files were segmented into primary analytic units in Transana, i.e. the so-called *clips*. Clips were analytically salient excerpts of the total video file which were found to present phenomena relevant to the Research Questions and to the descriptive categories, in particular (e.g. how setting was different in book and film). Clips were temporally defined, given that
Transana allows for setting time codes for each clip (see Image 2 below). Clips were used as a basis for coding the audiovisual data and were gathered together into thematic collections. The collection of clips can be seen in Image 2 and more clearly in Image 4 (C_p and C_f) further below.

The text aligned with the moving image in each clip was a description of the film scene followed by a contrastive analysis with the novel at comparable narrative points (e.g. when setting was different, how it was presented in the film and how in the book). Therefore, the text also consisted of comparative/contrastive comments which mainly referred to the narrative aspects used as descriptive categories (i.e. Plot structure, Narrative techniques, Characterisation and Setting – see 3.4.1.).

It needs to be noted that there was only one coder in the present project given the scope, time and resources of this doctoral project. As a result, identifying and delimiting the analytically pertinent clips was by default a partially subjective process. Clips were often found to display more than one category or type of shifts; in other words, there was some degree of overlap in the shifts that some clips related to. This did not create problems with the identification of the shifts, as different labels were used for different types of shifts.
As can be seen in Image 3, the selected clip has several shift types for the categories of Characterisation, Narrative techniques and Plot structure (“Character”, “Narrative” and “Plot” respectively in Image 3). These are namely addition \()(\text{mutation} \text{ sub-type)}\), amplification \()(\text{modulation} \text{ sub-type)}\) and dramatization \()(\text{modification} \text{ sub-type)}\) for Characterisation, addition in presentation \()(\text{mutation} \text{ sub-type)}\) and order in temporal sequence \()(\text{modification} \text{ sub-type)}\) for Narrative techniques and addition \()(\text{mutation} \text{ sub-type)}\), alteration \()(\text{modification} \text{ sub-type)}\) and amplification \()(\text{modulation} \text{ sub-type)}\) for Plot structure (see also sub-section 3.4.2.). These shift types have different keyword labels. As a result, the clip has been tagged in a way that indicates all the different adaptation shifts which appear in the clip.

Parts of the film which did not present phenomena noteworthy for the purposes of shift analysis were not coded as clips. These parts were most of the time too similar to the narrative of the novel. On the other hand, parts which were found to be too dissimilar, and where this dissimilarity had an impact on plot, narrative techniques, characters or setting, were coded. The coding process did not aim for an absolute quantification of the data; in accordance with the research aims of this project (see 3.1.), the coding aimed at identifying potentially outstanding trends in adaptation shifts. As a result, the coding process in Transana was deemed apt for the analysis in question.
As previously mentioned, audiovisual paratexts were also imported as video files in Transana and were segmented into clips with a brief description summarising each clip (see Image 4 below). Clips in paratexts were also gathered together into thematic collections (see $C_p$ in Image 4). In this case, the text accompanying the paratext clips (TD) focused on the angle from which the paratext explained specific adaptation shifts. As can be seen in Image 4, the paratext “Ahern_DVD_interview” has been divided into clips ($C_p$) and each clip includes a brief textual description (TD). From this description it was possible to extract economic, creative and social reasons mentioned in the given paratext to account for relevant adaptation shifts. Put differently, thematic analysis was used at this stage to identify a link between paratexts and interpretive categories (see 3.5.).

Verbal paratexts, such as interviews, reviews and commentary articles, were attached as text files that were thematically relevant to the content of these paratexts. Such a case is illustrated in Image 4 and more clearly in Image 5. $C_f$ in Image 4 and Image 5 shows the collection of clips of the analysed film. The yellow symbol under some clips opens a new text file which contains paratext relevant to these clips. For example, the “Harry Connick Jr_interview” text file is an interview of the actor referring to the scene captured by the clip to which the text file is attached.
As can be concluded from the above, with the aid of the qualitative analysis software, the data were coded in a holistic, efficient and systematic manner, which ensured consistency across the corpus and supported the validity of the findings. What is more, Transana allowed for tagging the data with appropriate keyword groups. As can be seen in Image 6 below, these keyword groups were based on the descriptive categories (i.e. Plot structure, Narrative techniques, Characterisation and Setting) as well as on the interpretive categories (i.e. economic, creative and social reasons). The keywords themselves corresponded to the shift types presented in 3.4.2.
It needs to be noted that there were two stages in data-processing. More specifically, the tagging of clips with the two different sets of keyword groups (i.e. descriptive and interpretive categories) was done at two separate stages. Within the descriptive keyword group, there were specific keywords corresponding to the shift types per category (i.e. modulation, modification, mutation), as can be seen in Image 6 above. Labelling the data by means of these keywords enabled the data quantification; the purpose of this was not to reach absolute figures or test for statistical significance, but rather to identify tendencies, as already explained. What is more, one of the main purposes of the tagging was to be able to retrieve and keep track of all instances, which was more difficult manually.

During the data analysis stage, the use of descriptive statistics allowed for a meaningful representation of the shifts across the data. At this stage, it was also possible to have a distribution of shift types within the descriptive categories in the corpus (see Table 3 in Chapter 4). In this way, it was possible to discern and analyse trends in adaptation shifts, thus fulfilling
the main research aim of this project. Furthermore, quantitative analysis complemented qualitative analysis and the methodological dimension of the project was also enhanced, allowing for future replication of the process with a different set of data.

As already noted, the film clips were firstly labelled by means of the descriptive-categories keywords. The second stage of data-processing relates to the paratexts. The paratexts, which, as illustrated above, were also imported in Transana, were analysed after the novel-film pairs, that is, after the film clips had been tagged with the descriptive-categories keywords, i.e. after the adaptation shifts had been identified. Paratexts were then tagged with keywords based on the interpretive categories. At this stage, there was a second phase of data tagging: the film clips were tagged with keywords based on the interpretive categories after the tagging of the paratexts. In this way, a relation was created between the paratexts and the film clips. This relation was then used in the interpretation of the adaptation shifts (see Chapter 5).

It is worth noting that tagging clips with keywords based on the interpretive categories may seem considerably subjective and less rigorous than that based on the descriptive categories. In fact, it was not always easy to match the reasons motivating some shifts with specific scenes/extracts of the films, because the rationale often extended to the overall approach to the adaptation project or remained relatively vague. Therefore, there was no quantification at this stage; counting the instances where an economic, creative or social motivation may have appeared would be largely arbitrary due to the above-mentioned mismatch. Nevertheless, at this stage, the emphasis was placed on interpreting the adaptation shifts and on deconstructing them on the basis of the ‘evidence’ afforded by the paratexts. In other words, the focus now shifts from the first RQ (i.e. what are the changes taking place in the adaptation of a romance novel) to the second RQ (i.e. how these changes can be systematically explained) (see also 3.1.). Interpretation implies perforce an evaluative and qualifying process which is hardly countable. Interpreting the adaptation shifts with the aid of paratexts was used in order to bring to the fore the multifaceted interests involved in adaptation. It also gave rise to the complexity of the process and the intricate interplay between texts, agents and contexts.

As already mentioned, tagging with keywords based on the descriptive categories enabled a quantification of the adaptation shifts. Although patterns in the identified shifts were not as easily distinguished as it had been hypothesised, there were relevant trends observed in the analysed data (see Chapters 4, 5 and 6). In addition, the analysis at this stage underscored the inter-relations between the descriptive categories of shifts. On the other hand, the
interpretation of the shifts with the aid of the paratexts essentially revealed the uniqueness of each adaptation project and underlined the importance of the *ad hoc* matrix of contextual circumstances. As will be argued in Chapter 6, the data analysis in its both quantitative and qualitative facet highlighted the intricacy of the adaptation process as a whole and the pivotal role of contextual factors as reflected on the adaptation product through the implemented shifts.

The figure below illustrates the different stages of data analysis:

![Stage 1: Identifying and classifying the adaptation shifts](image-url)
As the figure above shows, there are two main parts in the data analysis. For this reason, the data analysis spreads across two chapters, namely Chapter 4 and Chapter 5. Chapter 4 centres on the identification and classification of adaptation shifts within the descriptive categories. In this chapter, the shifts are presented analytically per film adaptation and the shift types (i.e. modulation, modification and mutation) are exemplified by means of specific instances within the novel-film pairs. Chapter 5 focuses on the interpretation of the shifts and the patterns that result from such interpretation. As previously mentioned, this is essentially a qualitative analysis joining the dots between shifts and reasons, and, by extension, between text and context. It is worth noting that Chapter 5 focuses on the most prominent trends that seem to come out of the analysis in Chapter 4; as a result, instead of providing an exhaustive analysis of shifts and paratexts, Chapter 5 focuses on interconnections that are observed in the present corpus and may also feature in similar cases of adaptation analysis. In this way, the structure of the data analysis brings together textual (Chapter 4) and contextual (Chapter 5) considerations in the study of adaptation as product and process.
4. Identifying the adaptation shifts across the data

This chapter corresponds to the first stage of data analysis as illustrated in Figure 1 of Chapter 3. More specifically, in the present chapter, the focus lies on the identification of adaptation shifts and their classification in the descriptive categories of the adaptation model (i.e. Plot structure, Narrative techniques, Characterisation and Setting – see 3.4.). In section 4.1., there will be a brief synopsis of the most outstanding shift patterns per film adaptation. This is followed by Table 3 which presents an arithmetic overview of shifts in the data. In 4.2., the adaptation shifts are analysed per descriptive category and per adaptation within each category. The discussion highlights the most prominent adaptation shifts per film, while a comprehensive overview thereof is included in Tables 5-9, 11-15, 17-21 and 23-27.

4.1. Overview of shifts per film adaptation

As noted in 3.2.1., *P.S. I Love You* (LaGravenese 2007) presents the story of a widow whose life is directed and guided by letters written by her dead husband. In *P.S. I Love You*, the adaptation shifts focus mainly on Characterisation. As explained later, the film manipulates the portrayal of the protagonist and the power dynamics among the characters. These shifts lead to further shifts in Plot structure and Narrative techniques.

A similar emphasis on Characterisation can also be observed in *The Notebook* (Cassavetes 2004), which tells the intertwined stories of a young couple in the eve of WWII and of an elderly couple at a nursing home. Both novel and film include the two narrative levels, namely the young couple’s love story, on the one hand, and the elderly couple’s life at the nursing home, on the other. The link between these two levels is signified by an actual notebook which includes young Noah and Allie’s story. The main difference between the source novel and the adaptation is the explicitness of this link between the two parallel stories/levels. This difference is related to and enhanced by shifts pertinent to the Narrative techniques in the adaptation.

As far as *Silver Linings Playbook* (Russell 2012) is concerned, it focuses on bipolar Pat who tries to come to terms with reality outside a mental health institution. Here, notable differences occur in terms of plot and character construal. More specifically, there are several plot twists in the film not encountered in the book, while minor characters are expanded in several respects. By contrast, the protagonist seems to be rather deflated. As later argued, this may be attributed to the different Narrative techniques employed, i.e. first-person narrator in the book as opposed to an omniscient camera lens in the film.
A combination of Plot structure and Characterisation shifts is apparent in The Devil Wears Prada (Frankel 2006) as well. The Devil Wears Prada presents the story of Andy, who works as personal assistant for the editor-in-chief of a fashion magazine and gets enthralled by the glitter of the fashion industry. In The Devil Wears Prada, the emerging shifts seem to result from an elaborate treatment of the character portrayals. Put differently, although the essence of the plot remains the same across the two media, the motivations of the characters’ actions are brought to the fore. It is worth noting that the source novels The Devil Wears Prada (Weisberger 2003) and Silver Linings Playbook (Quick 2008) share the first-person narrative style (although the voice is female in the former and male in the latter). Therefore, certain shifts can be attributed to this first-person perspective which may be difficult to transpose on film.

As explained in 3.2.1., two film adaptations of The Great Gatsby (Fitzgerald 1925) were selected so as to investigate the adaptation from novel into film alongside the re-adaptation process as a parallel to retranslation. Both adaptations remain relatively close to the book, which could be attributed to the fact that The Great Gatsby is a classic of the American literature. As argued in Chapter 5, the anxiety of paying tribute to the novel influenced director and cast of both adaptations. This agrees with the relevant literature and the pressure often exerted onto adaptations of classics, which are expected to remain close to the source text (Corrigan 2012). Most changes in Clayton’s adaptation pertain to Characterisation, which also relate to the stardom of the period, as the protagonists were rapidly emerging talents at the time. On the other hand, Luhrmann’s interventions relate mainly to Narrative techniques and Setting, often introducing contemporary elements, such as social references and music tracks.

As can be seen in Table 3 below, the film featuring the most adaptation shifts is The Notebook (Cassavetes 2004), with 166 shifts, followed by The Great Gatsby (Luhrmann 2013), with 144 shifts. The least affected adaptation is The Devil Wears Prada (Frankel 2006) with 84 shifts.
As Table 3 illustrates, the shifts in Plot structure, Narrative techniques and Characterisation do not differ much in number from one another. On the contrary, Setting shifts are much fewer. Setting accommodates the lowest number of shifts across the descriptive categories.

### 4.2. Analysis of shifts within descriptive categories

This section focuses on the classification of the adaptation shifts under the descriptive categories Plot structure, Narrative techniques, Characterisation and Setting. The analysis touches upon the most prominent examples in each film adaptation, while a more comprehensive overview is included in the respective tables after each sub-section. The emerging patterns are then discussed and interpreted against the relevant paratexts in Chapter 5.

#### 4.2.1. Plot structure

As can be seen in Table 4 below, *Silver Linings Playbook* (Russell 2012) and *The Notebook* (Cassavetes 2004) present the most Plot structure shifts (53 and 51 respectively), while *P.S. I Love You* (LaGravenese 2007) and *The Great Gatsby* (Clayton 1974) feature almost half as many (28 and 25 respectively). Across the corpus, the most Plot structure shifts belong to the modification type (see Table 4). In other words, most adaptations change parts of the story plot. The second most frequent shift type in Plot structure is the amplification sub-type of modulation shifts. As explained in 3.4.2., amplification in Plot structure signifies the emphasis placed on plot aspects. As will be argued, plot amplification is often observed in regard to the romantic core of the story, which is somewhat expected given the genre examined. Simplification (one of the two sub-types of modulation shifts) and excision (one of the two sub-types of mutation shifts) occur less frequently in the examined adaptations.

<table>
<thead>
<tr>
<th></th>
<th>Plot structure</th>
<th>Narrative techniques</th>
<th>Characterisation</th>
<th>Setting</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>P.S. I Love You</em></td>
<td>28</td>
<td>26</td>
<td>40</td>
<td>6</td>
<td>100</td>
</tr>
<tr>
<td><em>The Notebook</em></td>
<td>51</td>
<td>50</td>
<td>48</td>
<td>17</td>
<td>166</td>
</tr>
<tr>
<td><em>Silver Linings Playbook</em></td>
<td>53</td>
<td>29</td>
<td>43</td>
<td>10</td>
<td>135</td>
</tr>
<tr>
<td><em>The Devil Wears Prada</em></td>
<td>32</td>
<td>18</td>
<td>27</td>
<td>7</td>
<td>84</td>
</tr>
<tr>
<td><em>The Great Gatsby 1974</em></td>
<td>25</td>
<td>36</td>
<td>38</td>
<td>21</td>
<td>120</td>
</tr>
<tr>
<td><em>The Great Gatsby 2013</em></td>
<td>30</td>
<td>49</td>
<td>41</td>
<td>24</td>
<td>144</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>219</strong></td>
<td><strong>208</strong></td>
<td><strong>237</strong></td>
<td><strong>85</strong></td>
<td><strong>749</strong></td>
</tr>
</tbody>
</table>

*Table 3: Adaptation shifts across the corpus*
Table 4: Plot structure shifts across the corpus

<table>
<thead>
<tr>
<th>Plot structure</th>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Amplification</td>
<td>Simplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>P.S. I Love You</td>
<td>3</td>
<td>0</td>
<td>17</td>
<td>7</td>
</tr>
<tr>
<td>The Notebook</td>
<td>10</td>
<td>6</td>
<td>19</td>
<td>13</td>
</tr>
<tr>
<td>Silver Linings Playbook</td>
<td>14</td>
<td>6</td>
<td>26</td>
<td>7</td>
</tr>
<tr>
<td>The Devil Wears Prada</td>
<td>9</td>
<td>0</td>
<td>16</td>
<td>6</td>
</tr>
<tr>
<td>The Great Gatsby 1974</td>
<td>6</td>
<td>3</td>
<td>1</td>
<td>10</td>
</tr>
<tr>
<td>The Great Gatsby 2013</td>
<td>16</td>
<td>0</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>Total</td>
<td>58</td>
<td>15</td>
<td>85</td>
<td>50</td>
</tr>
</tbody>
</table>

It needs to be noted that excisions, i.e. events that are included in the source novel but not in the film adaptation, were not calculated through the qualitative analysis software, as it would be difficult to consistently tag the absence of such events. However, the excised events were manually calculated through a comparative analysis between book and film and are included in Tables 5-9, 11-15, 17-21 and 23-27 below. Excision is the least frequent type of Plot structure shifts; in contrast, the number of plot additions does not differ much from that of plot amplifications. Put differently, in the examined film adaptations, events tended to be altered, amplified or added rather than simplified or excised.

**P.S. I Love You**

Although *P.S. I Love You* (LaGravenese 2007) has generally retained the story of the source novel, shifts in Characterisation (discussed in 4.2.3.) result in minor plot alterations (the only modification sub-type). For instance, the opening scene of the film shows the couple have a heated argument which ends with an equally passionate reconciliation. In contrast, the novel introduces the reader to the female protagonist who grieves her husband’s death and tries to come to terms with loss. An overall observation that can be made with regard to the implemented changes is that the film adaptation has altered what McFarlane (1996) calls indices proper, i.e. details and features of the characters which do not change the narrative core on a larger scale.

Nevertheless, the manipulation of indices proper can affect the catalysts (McFarlane 1996), i.e. minor actions and events of the narrative: changing aspects of character construal can be seen as having a cause-effect impact on small actions of the narrative which in turn add a different spin to the cardinal functions, i.e. the major events and actions of the story (McFarlane 1996). For example, given that the protagonist’s family is downsized, many family
dinner, conversations and minor arguments are **excised** (a sub-type of **mutation** shifts). Plot **additions** may result from plot **alterations**. For instance, the fact that Daniel suffers from a condition, which makes him bypass social cues of politeness, **alters** the plot of the novel and **adds** instances that derive from this condition (e.g. comic blunders on Daniel’s part in his effort to flirt with Holly).

Moreover, plot shifts seem to intertwine with Characterisation shifts. One of the most decisive plot **alterations** is caused by the addition of a character in the adaptation. More specifically, in the film, Holly retains a purely friendly relationship with Daniel, with whom she is secretly in love at some point in the novel. However, still in the film, Holly develops a romantic relationship with another character, i.e. William. William is a character that does not exist in the novel; thus, the plot in the film changes drastically where William is involved. As a result, it can be argued that the film manipulates Daniel’s character so that he is the unconventional friend and not the ideal lover (i.e. **index proper**). This Characterisation shift leads to the omission of flirting between him and Holly (i.e. **catalyser**), which exists in the book. This in turn may have led to the addition of William’s character (i.e. **cardinal function**) in the film. Of course, the relation can also be reversed, i.e. Plot structure shifts may lead to Characterisation shifts. This depends on the reasoning of the agents involved in the adaptation process, an issue into which paratext analysis can give valuable insight (see Chapter 5).

Another event which changes to some extent from novel to film is a karaoke instance, which exposes Holly’s less graceful moments in the source novel, yet notably sensualises and objectifies her in the film adaptation. In the book, this is one of Holly’s most self-embarrassing experiences:

> As soon as she started singing, Holly had never heard so many boos in her whole life and at such a loud volume. [...] It was all the more people to see Holly trip down the steps in her stilettos and fall flat on her face. They all watched as her skirt went flying over her head to reveal the old underwear that had once been white was now gray, and that she hadn't bothered to change when she got home from work.

(Ahern 2004: 120)

As can be seen from the above extract, this is a quite humiliating moment for Holly; not only did she have a bad voice which the crowd could not stand, but she was also “taken to hospital to see to her broken nose” after the karaoke (Ahern 2004: 120). In sharp contrast lies the way in which this instance is cinematically transposed (00:43:21-00:44:21): Holly begins with what looks like a striptease performance, her voice is arguably easy on the ears and the audience
applauds her enthusiastically. The camera focuses on her slim figure, lingering on her hips, and the entire performance is assigned erotic overtones. The accident that Holly has in the end is not as embarrassing as in the book, as she merely trips over in cables. Even her picture at the hospital, albeit a little bloody and comical (00:44:41), does not involve the degree of humiliation that the instance carries in the novel.

Shifts in Narrative techniques also result in Plot structure shifts and, in particular, in plot *amplification*. Many of Holly’s thoughts are recreated onscreen, i.e. a *modification* shift in Narrative techniques, given that the narration of the book is replaced with monstration in the film adaptation. As a result of this shift, the loving relationship between Holly and her deceased husband is emphasised and the drama is heightened. What is more, the character addition of William further *amplifies* the romantic core of the film, as it adds another romance to the story plot. This confirms that the categories of shifts are inter-related and that shifts within the same category may also have a mutual impact on each other. The table below illustrates the plot shifts of *P.S. I Love You*:

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Amplification</strong></td>
<td><strong>Alteration</strong></td>
<td><strong>Addition</strong></td>
</tr>
<tr>
<td><em>Holly and Gerry’s loving relationship prior to his death.</em></td>
<td><em>Holly’s relationship with her family and relevant instances (e.g. gatherings and conversations).</em></td>
<td><em>Holly and Daniel’s comic friendship.</em></td>
</tr>
<tr>
<td><em>Holly and Daniel’s comic and friendly relationship.</em></td>
<td><em>Holly does not fall in love with Daniel.</em></td>
<td><em>Holly and William’s romance.</em></td>
</tr>
<tr>
<td></td>
<td><em>Holly falls in love with a new character, i.e. William.</em></td>
<td><em>Holly’s happy ending with William.</em></td>
</tr>
<tr>
<td></td>
<td><em>Gerry’s plan of the letters is made known through a recorded voice message in the film vs. Holly reads the specifics in a letter written by Gerry.</em></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>The karaoke instance is more embarrassing in the novel.</em></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>Holly is sent for holidays to Ireland (film) and not to Spain (book).</em></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>In the novel, Holly and Gerry first meet in school; in the film, Holly meets Gerry while on a trip as an Arts student.</em></td>
<td></td>
</tr>
<tr>
<td></td>
<td>*While stranded in the open sea, Holly and her friends are rescued by a female co-</td>
<td></td>
</tr>
</tbody>
</table>
traveller in the book, but by
William in the film.

- Holly re-invents herself through connecting with her
friends and family in the
book vs. she distances
herself from everybody in
the film.

<table>
<thead>
<tr>
<th>Simplification</th>
<th>Excision</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>Family dinners.</td>
</tr>
</tbody>
</table>

Table 5: Plot structure adaptation shifts in *P.S. I Love You*

The following sub-section discusses the Plot structure shifts in *The Notebook* (Cassavetes 2004), which features almost double the number of such shifts compared to *P.S. I Love You*, i.e. 51 shifts in *The Notebook*, as opposed to 28 shifts in *P.S. I Love You*.

**The Notebook**

Similarly to *P.S. I Love You*, *The Notebook* (Cassavetes 2004) also includes many instances where changes in the catalysers (McFarlane 1996) / satellites (Chatman 1978) (i.e. minor events and actions of the story) change the overall tone of the film adaptation.

The most striking shift is notably the *addition* of scenes (a sub-type of *mutation* shifts) centring on impulsive behaviour manifested by the young couple. As explained later, this plot shift is inter-related with Characterisation shifts. These plot *additions* emphasise the beginning of the romance and its dramatic unfolding. At the same time, they comply with the genre expectations and accentuate the typical formula “boy meets, loses, regains, girl” of romantic comedies (McDonald 2007: 12). The plot *additions* result in the *amplification* of certain aspects of the plot (a sub-type of *modulation*). More specifically, many added scenes foreground Noah’s flirting gimmicks or include activities that the young couple share at the beginning of their relationship; as a result, this part of the story is emphasised in the film. On the contrary, the novel focuses on the reunion of Noah and Allie 14 years later, during which they recall moments from the past and gradually restore their intimacy.

As a result of the above-mentioned interventions, the plot *alters* at points (sub-type of shifts). One of these plot changes pertains to the way in which Allie’s relationship with Lon is depicted. Lon is a wealthy lawyer whom Allie meets during the War; he represents the comfort zone and luxurious lifestyle that Allie’s family wants for her, which is why they eventually get engaged. Lon is a secondary romantic candidate, who ultimately loses the girl to the male protagonist. In both the novel and the adaptation, there is a point in which the dilemma is suspended and the audience is left to wonder about the female protagonist’s choice.
Nevertheless, the Narrative techniques employed in the film (which are discussed in detail in 4.2.2.) arguably lessen the suspense, which in the book remains intact due to the separate narrative space assigned to the two parallel stories.

Another example of plot alteration – and perhaps a quite decisive one, given that it is the concluding note of the film – is the ending of the story, which is far more conclusive in the film compared to the book. In the novel, it is not clear whether the aged couple succumb to their health problems or whether their love literally keeps them alive:

And suddenly, a miracle, for I feel her mouth open and I discover a forgotten paradise, unchanged all this time, ageless like the stars. […] I close my eyes and become a mighty ship in churning waters, strong and fearless, and she is my sails. […] She murmurs softly, “Oh, Noah… I’ve missed you.” Another miracle – the greatest of all! – and there’s no way I can stop the tears as we begin to slip toward heaven itself. For at that moment, the world is full of wonder as I feel her fingers reach for the buttons of my shirt and slowly, ever so slowly, she begins to undo them one by one.

( Sparks 1996: 212-213)

As can be seen in the extract above, there are lexical items and phrases which suggest that this might be a dream or an illusion (e.g. the twice repeated “miracle”, “I close my eyes” and “we begin to slip toward heaven itself”). However, the moment is characterised by the fervour of youth; the fact that Allie recognises Noah invigorates him, which may imply that love can indeed conquer all and continue in perpetuity. The conclusion is relatively open-ended, leaving the reader to infer the ending they prefer.

On the other hand, in the film adaptation, the last scene concludes the story with the aged couple motionless and lovingly embraced, while a nurse finds them in this posture and cries in disbelief. In fact, this scene reminds of Titanic (Cameron 1997), where an elderly couple is shown from a panoramic point of view, tightly embracing one another as they realise the futility of any attempt to escape the imminent flood. Both the nurse’s reaction and the intertextual allusion to another famous sentimental film heighten the tension of the particular scene and can probably evoke similarly emotional reactions on the part of the audience. The adaptation shifts in the Plot structure of The Notebook are summarised in the table below:


### Table 6: Plot structure adaptation shifts in The Notebook

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>• The beginning of the romance and the activities associated with it.</td>
<td>• The year when Noah and Allie first meet (1932 in the book; 1940 in the film).</td>
<td>• Instances of impulsive and erratic behaviour (e.g. Noah hanging from a Ferris wheel in a courting attempt to ask Allie out, Noah and Allie lying down in the middle of a street after Noah has urged Allie to be spontaneous and Noah urging Allie to jump into cold water swinging from a rope).</td>
</tr>
<tr>
<td>• Arguments between the couple and Allie’s family as well as between Noah and Allie.</td>
<td>• The beginning of Allie’s relationship with Lon and how settled she appears to be as his fiancée.</td>
<td>• Scenes that highlight the social clash between Noah and Lon as well as between Noah and Allie (e.g. a Sunday lunch between Noah and Allie’s family).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Simplification</th>
<th>Excision</th>
</tr>
</thead>
<tbody>
<tr>
<td>• The couple’s reunion (and the extensive pondering this initiates in the novel).</td>
<td>• Noah’s solitary yet rewarding journey across different states during which he develops professionally and personally.</td>
</tr>
<tr>
<td>• Older Noah’s damaged health and stroke (closely registered in the beginning and towards the end of the book).</td>
<td>• Details of Noah’s daily activities in the nature.</td>
</tr>
</tbody>
</table>

In what follows, the discussion focuses on *Silver Linings Playbook* (Russell 2012), which presents the most Plot structure shifts in the corpus, i.e. 53 shifts (see Table 4).

**Silver Linings Playbook**

*Silver Linings Playbook* (Russell 2012) is the only one of the examined adaptations which features such a number of modification shifts in Plot structure (i.e. plot alterations). One of these is Pat’s good relationship with his father in the film adaptation. Even though it is implied that the two were not always close and that the father had neglected Pat when he was younger, Pat’s father is obviously concerned about his son and actively tries to mend their relationship. In sharp contrast, in the book, Pat’s father hardly ever talks to him and Pat admits that he is afraid of his father. Furthermore, in the book, it is clear that the relationship between Pat’s parents is also problematic, given that the father frequently abuses his wife verbally and psychologically. Football is the only code of communication between Pat and his father and, in essence, Pat’s only means of reaching out to his father. However, his father is not always
receptive or approachable and their relationship remains damaged until the end. This is not the case in the adaptation, where all problems are resolved and the film reaches a happy ending on multiple levels.

Another distinctive instance of plot alteration is the fact that, in the film, Pat retains the memory of the violent episode that led to his hospitalisation. In the adaptation, Pat’s mental disorder is clearly identified as undiagnosed bipolar disorder, the symptoms of which are then explained by both Pat and his therapist. His overall demeanour, consisting of fast-paced speech, anxiety and erratic behaviour, further reflects his disorder. On the contrary, in the book, his mental health problem remains vague and a clear definition is not provided. Interestingly, Pat often refers to himself as “mentally deranged” (Quick 2008: 74) and “crazy” (Quick 2008: 97) but only projecting what other people think of him. At the same time, he juxtaposes his clinically proven mental disorder against the behaviour of ‘sane’ people, which he finds irrational and unjustified. In this way, he highlights the bias against people suffering from mental health problems, which nevertheless originates from people who may also act violently but do not carry the stigma of a diagnosed disorder.

A plot alteration important for the overall Plot structure of the film is Tiffany’s involvement with Pat and her liaising with Nikki on his behalf. As noted in 3.2.1., Tiffany suffers from her own psychological issues and Pat develops with her a peculiar romantic relationship. Nikki is Pat’s ex-wife. In the novel, Tiffany devises an elaborate plan so as to trick Pat into helping her with a dance competition; in return, Tiffany promises to give Nikki a letter written by Pat. Tiffany insists that she will initiate this communication between Pat and Nikki only after the competition. Therefore, her promise serves as the utmost incentive for Pat. Tiffany is Pat’s only way of reaching out to Nikki due to a restraining order operating between the two ex-spouses which prohibits any physical exchange between them. Gradually, it is revealed that Tiffany never communicated with Nikki. Tiffany was the one writing the letters which were supposed to have been written by Nikki and she was trying to make Pat move on without his ex-wife. The film adaptation changes Tiffany’s plan in various respects. Contrary to the book, where Pat finds out the truth towards the end, after keeping his end of the deal, in the film, Pat realises Tiffany’s lie before the dance competition. As a result, the sense of betrayal is somewhat lessened due to this plot alteration.

---

9 In the book, Nikki had already divorced Pat after his hospitalisation, was remarried and excluded any possibility of reuniting with Pat. This becomes known to both Pat and readers in Tiffany’s last letter, where she apologises and asks Pat to forgive her.
At the same time, *Silver Linings Playbook* accommodates quite a few plot *amplifications* (a *modulation* sub-type). The romantic core of the film is *amplified*, given that, despite the revelation, Pat still shows up for the rehearsals and for the competition. It is clear that he has already developed romantic feelings for Tiffany: close-ups show him focus on Tiffany’s body and the accompanying soundtrack mentions the closure of a past love. By contrast, the novel rarely hints on the development of the romance. This may be explained by the fact that the story in the book is narrated in first person, from Pat’s perspective; in the book, Pat remains completely focused on achieving his self-improvement so as to impress Nikki and only rarely notices Tiffany’s feminine characteristics. A further decisive plot twist occurs towards the end of the film, during the dance competition: in the film, Nikki indeed shows up, to both Pat’s and Tiffany’s surprise. This does not happen in the source novel.

Judging by these differences, it can be argued that the adaptation differs quite extensively from the source novel in terms of both minor events, i.e. *catalysers* (McFarlane 1996) / *satellites* (Chatman 1978), and major events, i.e. *cardinal functions* (McFarlane 1996) / *kernels* (Chatman 1978). The following table includes an overview of the Plot structure adaptation shifts:

<table>
<thead>
<tr>
<th>Amplification</th>
<th>Modification</th>
<th>Addition</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Pat’s mental instability.</td>
<td>• The reason for Danny’s¹⁰ hospitalisation and his overall background story.</td>
<td>• Danny’s fake discharge from the clinic.</td>
</tr>
<tr>
<td>• The romantic relationship between Pat and Tiffany.</td>
<td>• Pat’s relationship with his father.</td>
<td>• Pat actively looks for Nikki.</td>
</tr>
<tr>
<td>• Tiffany’s fragile psychology.</td>
<td>• The song-trigger of Pat’s episodes is different in book and film.</td>
<td>• Comic instances that highlight Pat and Tiffany’s unique code of communication (e.g. a dialogue on the medicines they have taken).</td>
</tr>
<tr>
<td></td>
<td>• Pat’s memory of his attack against his wife’s lover.</td>
<td>• A police officer’s repeated visits to Pat’s home due to the restraining order and due to Pat’s history of violent episodes.</td>
</tr>
<tr>
<td></td>
<td>• The rationale and details behind Tiffany’s deceptive plan.</td>
<td>• Instantiations of Tiffany’s erratic behaviour.</td>
</tr>
<tr>
<td></td>
<td>• Tiffany reminds Pat of their deal during practice to keep him focused.</td>
<td>• The bet of Pat’s father on Pat and Tiffany’s score at the dance competition.</td>
</tr>
<tr>
<td></td>
<td>• Pat’s relationship with his brother, Jake, is more distant in the film compared to the novel.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Danny adds finishing touches to Tiffany’s</td>
<td></td>
</tr>
</tbody>
</table>

¹⁰ Danny is an African American inmate at the same psychiatric clinic where Pat is hospitalised, with whom Pat develops a close friendship.
choreography in the film, whereas Tiffany thinks through her choreography on her own in the book.

- Pat finds out the truth about Tiffany’s lie before the dancing competition in the film (but afterwards in the novel).
- Nikki appears at the dancing competition in the film (this does not happen in the book).
- Pat and Tiffany’s dancing performance is flawed in the film, but executed perfectly in the source novel.
- In the film, Pat writes a letter to Tiffany, where he expresses his feelings for her; in the book, Tiffany writes an apologetic letter to Pat, where she reveals the truth about her plan.

<table>
<thead>
<tr>
<th>Simplification</th>
<th>Excision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pat’s emotional and personal journey towards recovery (the novel closely registers Pat’s decision-making process, while the adaptation often dissolves the motivations behind the actions). Tiffany’s background of psychological problems.</td>
<td>Given that the adaptation is in general quite different from the source novel, especially in the second half, many events that occur in this part of the book are excised in the film (e.g. a day at the beach with Ronnie’s baby daughter, Pat meeting his brother’s wife, Pat getting severely beaten up after the revelation of Tiffany’s sham).</td>
</tr>
</tbody>
</table>

Table 7: Plot structure adaptation shifts in Silver Linings Playbook

In what follows, the focus lies on the Plot structure shifts of The Devil Wears Prada (Frankel 2006). This adaptation features the fewest shifts in the corpus, i.e. 90 shifts (see Table 3).

The Devil Wears Prada

The Devil Wears Prada (Frankel 2006) also presents several shifts in Plot structure. Most plot alterations relate to the interpersonal dynamics between Andy, the female protagonist, and Miranda, her demanding boss. This aspect is vastly amplified, which then results in plot additions that highlight Miranda’s vulnerability in her personal life. On the contrary, the novel silences this side of Miranda’s character and persistently foregrounds her harsh personality.
**Mutation** shifts include *added* scenes where Miranda carefully plans the publication of the magazine’s next issue or where she stylishly assembles sophisticated outfits. These plot *additions* indicate Miranda’s perfectionism and professionalism. Moreover, they allow for several ‘mini-lectures’ on the role of the fashion industry. More specifically, as Miranda tries to select between two identical – to the untrained eye – belts, Andy chuckles with the absurdity and gets told off by Miranda, who poignantly remarks that even Andy’s tasteless wardrobe reflects decisions made by fashion designers. In another *added* scene, Nigel (art director at *Runway* and Miranda’s right hand) exalts *Runway* as a symbol of hope for young homosexuals whose family does not allow them to admit to their identity.\(^\text{11}\) As discussed in Chapter 5, these shifts largely stem from the director’s intention not to ridicule the fashion world.

What is more, many *modification* shifts (i.e. plot *alterations*) and *mutation* shifts (mainly plot *additions*) highlight the cutthroat nature of the fashion industry, and, more generally, of the corporate world. A characteristic example is the following, which involves a plot *alteration*: in the novel, Emily (Miranda’s senior assistant and Andy’s colleague) is looking forward to a trip to Paris during the fashion week (a treat-trip reserved for only Miranda’s senior assistant). Shortly before the trip, Emily contracts mononucleosis and has to remain in quarantine. Following Miranda’s orders, Emily tells Andy that she will have to go to Paris with Miranda, much to Andy’s discontent. On the other hand, in the film, Andy gets to go to Paris under different circumstances. In the film, Andy firstly impresses Miranda with her aptness of memorising people’s titles and background (in an *added* scene), at a moment when Emily suffers from a cold and cannot recall a guest’s name. At this point, Andy essentially rescues Emily, earning her gratitude and improving their so far dispassionate relationship. Despite her cold, travelling is not life-threatening to Emily, who, similarly to the book, has been impatiently anticipating the trip to Paris. However, Miranda bypasses hierarchy and appoints Andy (i.e. her junior assistant) as her companion to Paris. Andy’s initial dilemma between betraying Emily and pursuing the career opportunity is swiftly resolved by Miranda’s warning that, if she does not go to Paris with her, she will lose her job at *Runway* and any chance of working in the publishing industry. Not only does Andy succumb to the blackmail, but she also bears the onus of breaking the news to Emily, all under Miranda’s orders.

Another decisive plot *alteration* consists in the way in which Andy quits her job in the book and in the film adaptation. In the novel, Andy makes a dramatic exit from her job at

\(^\text{11}\) It is worth noting that Nigel’s character is overall amplified, as discussed in 4.2.3.
Runway: while in a fashion show in Paris accompanying Miranda, Miranda insists on Andy’s pulling all the necessary strings so as to renew her daughters’ passports the same day, refusing to acknowledge the impossibility of the task. By that point in the book, Andy has become aware of Lily’s serious accident which has put her in a coma, while her family implicitly asks her to leave Paris and go by her friend’s side. Feeling the pressure of both Miranda’s irrational demand and of the emergency back home, Andy explodes in a “Fuck you, Miranda” and storms out of the room. In the film, Andy quits her job while in Paris as well, but this is sharply contrasted with the scandalous scene of the novel: Andy quietly distances herself from Miranda’s entourage and tosses away her mobile phone, thus permanently detaching herself from Miranda’s world. Admittedly, Andy’s reaction is much less dramatic in the film, a shift which is rarely encountered in the adaptations examined so far.

Such plot manipulations result in the *amplification* of certain plot aspects (one of the two sub-types of *modulation*), such as the fierce competition prevalent in the fashion industry. At the same time, these plot interventions emphasise the parallelism between Miranda and Andy: Andy’s back-stabbing Emily is then repeated by Miranda’s betraying Nigel, as she assigns the job he has been striving for to her competitor in order to save her own position as editor-in-chief in *Runway*. Such deviousness does not appear in the novel, where the focus lies on the endless working hours and constant restlessness. Although Miranda is indeed portrayed as ruthless, her behaviour or intentions are not disclosed; in the novel, the impression Miranda makes on others is always indirectly presented, often followed by a mere concession that this is “just the way she is” (Weisberger 2003: 167).

The adaptation shifts in the Plot structure of *The Devil Wears Prada* are summarised in the table below:

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>Miranda’s professionalism and her authority as a fashion expert.</td>
<td>The panic preceding Andy’s job interview by Miranda.</td>
<td>Miranda is shown in action while planning the next issue of <em>Runway</em>.</td>
</tr>
<tr>
<td>Miranda’s troubled personal life and, in turn, her vulnerability.</td>
<td>Andy’s behaviour during the job interview is more outspoken compared to the novel.</td>
<td>Miranda’s and Nigel’s brief monologues which emphasise the meaning and function of the fashion industry.</td>
</tr>
<tr>
<td>Andy’s sympathy for Miranda.</td>
<td>Andy’s friendly relationship with Nigel that develops within the film adaptation does not occur in the book.</td>
<td>The social event where Andy proves herself to Miranda.</td>
</tr>
<tr>
<td>The dog-eat-dog circumstances of the fashion world (and of the corporate world, in general).</td>
<td></td>
<td>Emily’s car accident (while on the phone with Andy)</td>
</tr>
</tbody>
</table>
- The makeup of Andy’s family changes between book and film (her sister, brother-in-law and nephew are excised in the film).
- Andy decides to change her dressing style because she runs out of appropriate dressing choices in the book but, in the film, she does so in order to impress Miranda.
- The series of events leading to Andy’s accompanying Miranda in Paris is different between source novel and film.
- Andy sleeps with Christian (an established author who acts as a networking opportunity) in the adaptation, as opposed to the book.
- The way in which Andy quits from *Runway* is different from the source novel.
- Andy reconciles with Nate (her boyfriend) in the film (this is not the case in the book).
- In the novel Miranda does not provide positive references for Andy’s.
- who is calling to tell her the news about Paris).
- Miranda’s argument with her husband and their divorce.
- Nigel’s aspiration of promotion.
- Miranda’s Machiavellian behaviour to keep her job.
- Miranda’s approval of Andy’s decision to quit *Runway*.

<table>
<thead>
<tr>
<th>Simplification</th>
<th>Excision</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>Andy’s life and background (information around Andy’s prior studies and her relationships with Lily, i.e. her best friend, and Alex, i.e. her boyfriend in the book). Andy’s struggle to find a place and flatmates in New York. Lily’s impetuous behaviour and drinking problem. Lily’s accident.</td>
</tr>
</tbody>
</table>

Table 8: Plot structure adaptation shifts in *The Devil Wears Prada*
In the following sub-section, the two film versions of *The Great Gatsby* are discussed with regard to their Plot structure shifts. Notably, the 1974 version presents the fewest Plot structure shifts among the examined film adaptations.

*The Great Gatsby*

As regards the two film versions of *The Great Gatsby* (Fitzgerald 1925), the two adaptations keep the plot overall intact. The 1974 film even includes the appearance of Gatsby’s father after Gatsby’s death, which gives an insight into Gatsby’s ambitious dream that he nurtured from a young age. Nevertheless, the film does not include Gatsby’s life story as narrated by himself to Nick. This instance of Gatsby shedding his pretentious persona in Nick’s presence is particularly telling with regard to how valuable Nick’s opinion is to Gatsby. Therefore, through this plot *excision*, the 1974 film adaptation deprives viewers of a deeper understanding of Gatsby’s personality. The film delimits Nick’s narrative role as well; most events are presented as simply happening and only rarely does Nick interpret them. This creates the impression of a lack of connectivity and cohesion between scenes and events.

Furthermore, the film shifts the focus from Gatsby to the love story between him and Daisy, thus *amplifying* this part of the plot. This type of *modulation* shift is enhanced by *mutation* shifts, such as the *addition* of scenes where Gatsby and Daisy reminisce about their former relationship and revive their romance. The dramatic climax is also *amplified* in the film. For instance, special emphasis is placed on the erupting tension between Gatsby and Tom as well as on an intense argument between Myrtle (i.e. Tom’s affair) and her husband, George – an *added* scene in both film adaptations which leads up to Myrtle’s tragic accident. The tension is especially highlighted by means of camera techniques appropriate for the respective eras: extreme close-ups on the protagonists’ faces and clenched fists in the 1974 version and an intersemiotic mix of diegetic and non-diegetic sound tracks teamed up with the 3D film-making method in the 2013 version.

From the above-mentioned it can be concluded that the 1974 film version of *The Great Gatsby* elaborates the romance which lies at the core of the narrative. On the other hand, it rarely invests in unveiling characters’ inner motivations, which could either suggest that the film allows viewers to draw their own conclusions or that it presupposes viewers’ former knowledge of the American classic.

As far as the 2013 version is concerned, the most radical change to be noted is the framing device employed, thereby partly *altering* the plot. In the 2013 adaptation, Gatsby’s
story is narrated by the aspiring writer Nick Carraway, who is treated for alcoholism at a sanatorium in 1929 and recounts events that took place during the summer of 1922. The extent of events is measured against the impact they have on Nick’s mental state; his doctor’s questions probe him to clarify his perspective, which in turn works towards disambiguating motivations for the audience’s understanding. In other words, the characters’ dialogues work on both a horizontal and a vertical level (Vanoye 1985: 116).12

Contrary to the 1974 version’s expansive and almost all-inclusive cinematic transposition, the 2013 adaptation aims at delving into the motivations behind characters’ actions and at rationalising their complex personalities. This is enhanced by plot additions, such as added monologues and flashbacks. Overall, Luhrmann’s film adaptation closes in on the relationship between Gatsby and Nick (plot amplification), as the director admits in an interview (Luhrmann 2013). Interestingly, Nick calls Gatsby “Jay” twice, which is not the case either in the 1974 version or in the book. The intensity of this relationship is especially obvious at two points: as Gatsby introduces himself for the first time to Nick, the camera moves in slow motion and there is a dazzling fireworks show in the background. This shot works in conjunction with Nick’s befuddled expression and awkward posture and almost suggests Nick’s ‘crush’ on Gatsby:

Image 7: Gatsby’s confident introduction against Nick’s amazement

The second instance is evidenced in Nick’s devotion after Gatsby’s death. While everybody, including Daisy, has forgotten Gatsby and none of his numerous guests turns up at his funeral, Nick sleeps across the massive staircase of the mansion, as if watching over Gatsby’s coffin:

12 A similar observation can be made in regard to The Notebook, as later argued.
The simultaneous voice-over registers Nick’s agonising efforts to call or write to people that might be interested in attending the funeral, all to no avail. This is the scene that concludes Nick’s framed narrative; subsequently, Nick is shown back at the sanatorium, finally getting some sleep.

Apart from their individual differences, the two film adaptations have certain shifts in common. Both omit a scene where Nick’s homosexuality is implied (plot excision). In the novel, after Myrtle’s party, Nick is quite drunk and finds himself beside a man:

…I was standing beside his bed and he was sitting up between the sheets, clad in his underwear, with a great portfolio in his hands.

(Fitzgerald 1925: 42)

Although it is not explicitly stated, the man is most probably Mr McKee, with whom Nick had been talking in the preceding lines. Mr McKee is described as “a pale, feminine man”, a photographer involved “in the ‘artistic game’” (Fitzgerald 1925: 35). Both adaptations portray Mr McKee as exhibiting relatively effeminate mannerisms; however, neither includes the novelistic scene in question.

Moreover, both adaptations add a scene with Myrtle and her husband arguing before she dies. Admittedly, the later film version has been inspired not only by the source novel but by previous adaptations as well. Another shared element, which acquires almost symbolic dimensions across the two adaptations, is the ring representing Gatsby and Daisy’s bond. No such ring is mentioned in the book. However, in the 1974 adaptation, Gatsby is shown giving Daisy a ring to signify a platonic marriage between them; Daisy explains that she cannot be seen wearing the ring (due to the social scandal this may cause) and asks him to wear the ring, thus reversing the traditional proposal convention. In the 2013 version, the ring’s symbolic
value is extended: Gatsby’s trademark is a green ring with a daisy imprinted on it. The ring functions as Gatsby’s identity, as this is the image that introduces him and later defines him.

Finally, both film versions amplify and slightly alter the scene of Gatsby’s death. Although the novel very briefly describes how Gatsby was killed and centres on the opprobrium caused by curious reporters afterwards, the two films emphasise the dramatic tone of the event, each making distinctive interventions. In Clayton’s adaptation, Gatsby sets the gramophone to play the song that has functioned as the soundtrack for his romance with Daisy and, a little before the fatal blow, he imagines Daisy’s presence reaching out to him. Luhrmann’s version adds a sequence of shots leading up to the death scene; the shots alternate between the three protagonists (i.e. Gatsby, Daisy and Nick) and a phone. After Nick is depicted at work waiting for Gatsby’s call, Daisy is shown approaching a phone. This shot, working together with the following one which shows Gatsby’s phone ringing, suggests that Daisy is actually calling Gatsby. As Gatsby attempts to rise from the swimming-pool, trusting that Daisy is on the other end of the line, he gets shot and the last word he pronounces is Daisy’s name. No such account of events exists in the book; the death scene is dramatized and amplified in both film versions. The emphasis is perhaps more evident in the 2013 adaptation, where the camera lingers on DiCaprio’s face after he has been shot and, later, on his body floating in the pool, a scene that recalls DiCaprio’s career-defining role in Titanic (Cameron 1997). The following table summarises the Plot structure shifts in the two adaptations:

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
</tbody>
</table>
| 1974 | A reporter asks Nick about Gatsby’s business. | Fight at Gatsby’s party.  
Tom’s expensive gift to Myrtle.  
Gatsby and Daisy reminisce.  
Tom hires a detective to investigate Gatsby.  
The ring that Daisy gives to Gatsby.  
Myrtle’s argument with George.  
George goes to Tom’s house so as to find out to whom the yellow car belongs.  
Gatsby’s hallucination before dying.  
Daisy’s re-appearance after Gatsby’s death.  |
Nick’s mediating role: Nick serves as an omniscient homodiegetic narrator, who narrates events in which he is involved but who additionally interprets other characters’ actions and behaviours (in a similar way to the novel’s Nick).

- Nick’s relationship with Gatsby.
- Tom’s domineering role in Daisy’s life.
- Tom’s confrontation with Gatsby.
- Myrtle’s accident.
- Gatsby’s life story and fabricated persona.
- Tom’s adulterous behaviour.
- Excess in conduct and lifestyle.

Nick’s hospitalisation at a sanatorium (this does not happen in the source novel).
- Gatsby’s life-changing event, i.e. saving the life of a wealthy man in the open sea, is different in book and film.
- Tom blames Gatsby to George about Myrtle’s accident (this is implied in the novel but never clearly stated).
- Accusations against Gatsby about Myrtle’s death (obvious in the adaptation but not in the book).

Flashbacks which unravel the complete picture against preceding fragmented episodes (e.g. how Myrtle’s accident actually happened).
- Added scenes where characters speak about their inner truth (e.g. Gatsby talks extensively about his colossal dream – and utter illusion – and Nick confesses the impact that Gatsby’s acquaintance has had upon him).
- Persistent phone calls for Tom and Gatsby (suggesting the former’s affairs and the latter’s illicit business).
- Gatsby and Daisy’s private moments.
- The ring that Daisy gives to Gatsby.
- Myrtle’s argument with George.
- Desolation after Gatsby’s death.
- Tom blames Gatsby to George about Myrtle’s accident.
- Gatsby talks about his life dream.
- Daisy’s near-call to Gatsby at the very end.

### Table 9: Plot structure adaptation shifts in the two film versions of The Great Gatsby

<table>
<thead>
<tr>
<th>1974</th>
<th>2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>The beginning of Gatsby and Daisy’s romance.</td>
<td>Scene of Nick’s implicit homosexuality.</td>
</tr>
<tr>
<td>The emotional intensity at the couple’s reunion.</td>
<td>Gatsby’s background story.</td>
</tr>
<tr>
<td>Nick’s life story.</td>
<td>The appearance of Gatsby’s father after Gatsby’s death.</td>
</tr>
</tbody>
</table>

The following section refers to the adaptation shifts in terms of the Narrative techniques in the examined data. Narrative techniques are the ways in which the story is communicated in book and film. In the proposed classification system, Narrative techniques entail the temporal...
sequence in which the fictional events are communicated and the method of presentation opted for in each medium.

4.2.2. Narrative techniques

The Notebook (Cassavetes 2004) and The Great Gatsby (Luhrmann 2013) feature nearly the same and the biggest number of adaptation shifts in Narrative techniques (50 and 49 respectively), while the fewest shifts in this respect are observed in The Devil Wears Prada (Frankel 2006), with 18 shifts:

<table>
<thead>
<tr>
<th>Narrative techniques</th>
<th>Temporal sequence</th>
<th>Presentation</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>P.S. I Love You</td>
<td>1</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>The Notebook</td>
<td>9</td>
<td>5</td>
<td>8</td>
</tr>
<tr>
<td>Silver Linings Playbook</td>
<td>2</td>
<td>6</td>
<td>0</td>
</tr>
<tr>
<td>The Devil Wears Prada</td>
<td>2</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>The Great Gatsby 1974</td>
<td>1</td>
<td>6</td>
<td>0</td>
</tr>
<tr>
<td>The Great Gatsby 2013</td>
<td>2</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>Total</td>
<td>17</td>
<td>27</td>
<td>14</td>
</tr>
</tbody>
</table>

Table 10: Narrative techniques shifts across the corpus

It is worth noting that the range of numbers of shifts does not differ much from those in Plot structure. More shifts occur in presentation than in temporal sequence (see Table 10). Put differently, adaptations usually manipulate the ways in which the story is presented rather than the order in which the fictional events take place. Interestingly, half of the analysed film adaptations (i.e. P.S I Love You, The Notebook and The Devil Wears Prada) accommodate an equal number of modulation and modification shifts in presentation. The Narrative techniques shifts indicate that the examined adaptations generally manipulate the mode of presentation than the temporal sequence of events. Nevertheless, they tend to place emphasis both on narration as well as monstration. As will be explained in this chapter and in Chapter 5, this finding partly contradicts the premise that film adaptations focus merely on visuals (see 2.2.2.).
**P.S. I Love You**

With regard to the *temporal sequence* aspect of Narrative techniques, the film adaptation presents very few shifts, i.e. one shift concerning the *duration* of Holly’s isolation from her entourage so as to reconstruct her life (a *modulation* shift) and two shifts concerning the *order* of events, which mainly pertains to the insertion of analepses/flashbacks featuring Gerry (*modification* shifts).

Shifts in relation to *presentation* are equally divided between *modulation* (i.e. narration to narration) and *modification* (i.e. narration to monstration). This phenomenon of equal distribution between modulation and modification shifts occurs in two more film adaptations (i.e. *The Notebook* and *The Devil Wears Prada*). In *P.S. I Love You*, there is co-existence of *modulation* and *modification* shifts in certain instances. These pertain to the letters written by Gerry which are frequently read out by him in voice-over, hence the *modulation* shifts; at the same time, memories initiated by or associated with the letters are directly shown, hence the *modification* shifts. Other parts of the narration which are kept as such in the film either as voice-over or as dialogues relate to Holly’s emotions, thoughts and reinventing experiences.

It needs to be noted that the film shifts the emphasis from Holly as an individual onto the couple (i.e. Holly and Gerry), showing how they used to be in the past and how Holly struggles alone in the present (*modification* shifts). The link between past and present is enhanced through flashbacks and through physically showing Gerry on Holly’s side, as she imagines him to be. The story is presented as shown from Gerry’s perspective, since he is the omniscient, ever-present narrator, who observes Holly and dictates how she lives her life.

This is an important change from the novel, where the story focuses on Holly and the narration revolves around her struggle to cope with Gerry’s loss and the different emotional states she goes through during this process. Moreover, extensive sections of the narration in the novel highlight how she manages to deal with being alone or how she behaves when in the company of her family. Put differently, there appears to be a more introspective outlook on Holly’s emotional ‘journey’; although the novel is written in third-person narration – which means that there is an omniscient narrator in the novel as well – the narration at certain points resembles the stream-of-consciousness style, presenting Holly’s thoughts and feelings as they spring into existence. On the contrary, this is not the case in the film, where Holly’s struggle, even when alone, seems to be shown as observed by Gerry. This is strengthened both by the flashbacks and Gerry’s imaginary presence and by his voice-over narration, including his reading the letters he wrote to Holly. These changes are facilitated and enhanced by the
techniques of the cinematic mode, as flashbacks and voice-over narration strengthen Gerry’s presence. However, they are not necessitated by the filmic medium: although there was the option of placing an equal-to-the-book emphasis on Holly (e.g. by her reading the letters in voice-over), the adaptation chose a different pathway. An overview of the shifts in Narrative techniques of *P.S. I Love You* is included in the table below:

<table>
<thead>
<tr>
<th>Temporal sequence</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Modulation (duration)</td>
<td>Modification (order)</td>
</tr>
<tr>
<td>The period during which Holly distances herself from friends and family is prolonged in the adaptation.</td>
<td>• The story is introduced at different points in book and film: after Gerry’s death (book) vs. after his death (film).</td>
</tr>
<tr>
<td>• Flashbacks showing moments from the couple’s life are inserted more frequently in the narrative of the adaptation.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Presentation</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Modulation (narration→narration)</td>
<td>Modification (narration→monstration)</td>
</tr>
<tr>
<td>• The letters are most often read by Gerry in voice-over.</td>
<td>• Holly’s accident during the karaoke night.</td>
</tr>
<tr>
<td>• Holly’s feelings and thoughts are frequently incorporated in dialogues or voice-over.</td>
<td>• Gerry is physically present as part of Holly’s imagination.</td>
</tr>
<tr>
<td>• Holly’s memories are transmuted to actual scenes.</td>
<td></td>
</tr>
</tbody>
</table>

Table 11: Narrative techniques adaptation shifts in *P.S. I Love You*

*The Notebook* (Cassavetes 2004) presents almost double as many adaptation shifts in Narrative techniques compared to *P.S. I Love You*, i.e. 50 shifts (*The Notebook*) as opposed to 26 shifts (*P.S. I Love You*) (see Table 10). *The Notebook* holds the first place as regards Characterisation shifts as well, discussed in 4.2.3. In what follows, the Narrative techniques shifts of *The Notebook* are examined with reference to prominent examples.

**The Notebook**

As regards the Narrative techniques employed in *The Notebook* (Cassavetes 2004), the most notable change appears in the order in which events are communicated (modification sub-type of shift in temporal sequence of Narrative techniques). Both novel and film open at the nursing home, where the old man is a first-person narrator about to embark on reading a notebook which includes the story of young Noah and Allie (i.e. the framed narrative). Nevertheless, in the book, readers are firstly acquainted with Noah in 1946, after his relationship with Allie has started and ended. In other words, the framed narrative opens in media res, after certain events have
taken place. Noah’s memory then travels back to 1932, when he first met Allie; this event as well as their summer romance are summarised in the course of one and a half pages, after which the story returns to 1946.

On the contrary, the film follows a more linear narrative route, introducing the framed narrative in its very beginning, proceeding to how it ended and then moving on to the reunion of Noah and Allie. At the same time, the duration assigned to certain events changes between the two media (modulation sub-type of shift in temporal sequence of Narrative techniques). For example, the film dedicates 15 minutes\footnote{The entire film lasts 120 minutes.} to the beginning and development of the romance before returning to the narrative present, i.e. the aged couple at the nursing home. As a result, there seems to be a pause in this part of the narrative. On the other hand, the film cuts in half the time lapse between the end of the relationship and the reunion (from 14 years in the book to 7 years in the film). Furthermore, although the adaptation presents the framed story more linearly compared to the source novel, it constantly interchanges between the overarching narrative and the framed story, fleshing out the connections between the two stories. Cinematography and mise-en-scène further enhance the creation of such intratextual links. More specifically, the red colour serves as a cohesive device foretelling the relation between the two female characters:
As illustrated in the images above, the female protagonist wears a red piece of clothing in a scene of the framed story as well as in one of the narrative present. Later in the film, the link is additionally strengthened by means of a string of pearls that Allie is shown to wear at the reunion (Image 11), while a similar necklace is also worn by the older woman (Image 9):

The plot twist that is supposed to come as a surprise towards the end of the film is divulged well in advance due to the constant back and forth between the two stories. Notably, the predictability of the plot is severely criticised by both professional critics (Jones 2011; Williams 2007) and members of the audience (python2000 2014; nirishan9 2013). Nevertheless, the
frequent returns to the narrative present underline the aged woman’s reactions to the notebook story. This is not the case in the novel; the framed narrative unfolds in the course of 145 pages with no reference to the elderly couple whatsoever. After the end of the notebook story, the remaining 61 pages until the end of the novel acquaint readers with the aged couple’s daily routine at the nursing home and with the man’s persistent efforts to reinstate his wife’s memory. The woman, heavily affected by Alzheimer’s, does not speak much and only momentarily attains lucidity. The man reassumes the role of the first-person homodiegetic narrator, in which he was introduced at the opening of the book and which was abandoned before the framed narrative unfolded. Within this role, the man addresses directly the reader at points and the boundary between his telling a story and his writing in his diary gets blurred. Therefore, while there is a close relationship between the narrator-character and the reader, the elderly woman is somewhat marginalised and distanced from the reader. This is partly compensated for by means of letters which the woman had written to the man when she was still in control of her mental faculties; thus, readers get to know her indirectly through her letters.

On the contrary, the film adaptation shows directly events that are multiply mediated in the book, thus replacing narration with monstration (modification type of shift in presentation of Narrative techniques). Where narration is sustained, as either part of the film dialogue or as voice-over (modulation type of shift in presentation of Narrative techniques), it serves a metatextual function as well. More specifically, when the narrative returns to the couple at the nursing home, the elderly woman probes the man to tell her how the story continues and what happens in the end. Given that film dialogue operates on both a horizontal level (which includes the fictional addressees) and on a vertical level (which refers to the real-life audience) (Vanoye 1985: 116), the woman’s comments may address either category of addressees. They may also be seen as steering the audience’s understanding and as interpreting the film for them. Similar editorial qualities acquire the voice-over accompanying certain scenes. An overview of the adaptation shifts under Narrative techniques is provided in Table 12:

---

14 The novel consists of 213 pages.
15 Interestingly, her comment “I think I’ve heard it before” (01:05:00) could apply to adaptations in general, since adaptations rely on similarity through difference (Hutcheon 2013) in order to establish their artistic and sociocultural value.
### Temporal sequence

<table>
<thead>
<tr>
<th>Modulation (duration)</th>
<th>Modification (order)</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>• The beginning and development of the two romances (i.e. Noah-Allie and Lon-Allie).</td>
<td>• The adaptation shortens the temporal distance between the break-up and the reunion.</td>
<td>• The adaptation often moves between the framed narrative and the narrative present.</td>
</tr>
<tr>
<td>• The adaptation shortens the temporal distance between the break-up and the reunion.</td>
<td>• The framed narrative is introduced at different points (in the book, it opens with Noah reminiscing his past romance with Allie, whereas it is the starting point of the film); flashbacks and flash-forwards are adjusted accordingly.</td>
<td>• Events that are excised (see plot structure shifts) are by default removed from the temporal sequencing of the adaptation.</td>
</tr>
</tbody>
</table>

### Presentation

<table>
<thead>
<tr>
<th>Modulation (narration→narration)</th>
<th>Modification (narration→monstration)</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Film dialogue interpreting and evaluating the framed story (e.g. the woman’s evaluative comments, such as “I like this kind of story” (00:18:00) and “This is a good story” (01:04:56), which can be regarded as meta-adaptive observations on the film itself).</td>
<td>• Allie’s arguments with her parents.</td>
<td>The letter-writing habit of the aged couple, through which they used to register important events of their life together, is excised in the adaptation.</td>
</tr>
<tr>
<td>• Voice-over commenting on the young couple’s romance and on the passing of time (e.g. in a scene showing the young couple dining and laughing, the concurrent voice-over states “It was an improbable romance. He was a country boy, she was from the city” (00:20:39), thus creating an intersemiotic dissonance, spelling out the tragic irony and foreshadowing the sour end of the young romance).</td>
<td>• Allie’s confrontation with Lon.</td>
<td></td>
</tr>
<tr>
<td>• Duke’s stroke.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Letter-wr | The letter-writing habit of the aged couple, through which they used to register important events of their life together, is excised in the adaptation. |

Table 12: Narrative techniques adaptation shifts in *The Notebook*

In what follows, the focus is shifted onto *Silver Linings Playbook* (Russell 2012). Although *The Notebook* and *Silver Linings Playbook* do not differ much in Plot structure shifts numbers from one another, they present remarkable quantitative difference in Narrative techniques shifts (50 shifts in *The Notebook* as opposed to 29 shifts in *Silver Linings Playbook*, as illustrated in Table 10).
Silver Linings Playbook
On the temporal dimension, a noteworthy shift appears in regard to the time that Pat spends in the psychiatric clinic, i.e. four years in the novel as opposed to eight months in the film (a modulation type of shift, as it relates to the duration of events). In other words, there seems to be an ellipsis in this respect in the adaptation. Pat’s considerably shorter hospitalisation in the film may also relate to the changes observed in his character portrayal (further explored in 4.2.3.). Furthermore, Tiffany’s marriage to her deceased husband lasts ten years in the book but only three years in the film. This ellipsis is also reflected in Tiffany’s differentiated character portrayal. The order of some events also changes at points, leading thus to modification shifts. For example, the audience finds out about Pat’s violent episode with his ex-wife’s lover in the beginning of the film and not in the end, as is the case in the book, and Pat discovers the truth about Tiffany’s lie before the dance competition and not afterwards.

As regards shifts in modes of presentation, i.e. modulation shifts (narration in the novel is substituted by voice-over or dialogue in the film) and modification shifts (narration is substituted by monstration), the most characteristic instance is the delivery of Pat’s daily routine; while every action or thought is narrated by Pat in the slightest detail in the novel, the film often spares words and focuses on images, thus allowing the audience to draw their own conclusions. The book follows a first-person homodiegetic narration, i.e. Pat talks about his experiences and feelings and gives his own reasoning for his past and present actions. Moreover, he addresses readers in a personal, direct way, confiding in them his changed state of mind and his innermost thoughts. His way of writing is reminiscent of diary-writing. However, it can be argued that he writes with an addressee in mind because he frequently explains sports references (e.g. football players’ initials or sports terminology) which can facilitate readers’ understanding. As a result, there is a special connection formed between Pat and readers, which heightens the latter’s empathy. In the adaptation, viewers get to see the violent incident between Pat and his ex-wife’s lover through Pat’s eyes. During the flashback to the episode (which Pat recounts to his therapist), viewers are literally placed in Pat’s shoes, as the camera shows only what and how Pat sees (i.e. a subjective point-of-view sequence). Therefore, identifying and/or sympathising with Pat is inevitable and rather tragically enforced, as the viewers watch his aggressiveness build up and outpour in a sequence of graphic shots. In a similar vein, the audience experiences one of Pat’s hallucinating episode from his perspective, as the images get hazy and menacing while the song-trigger sounds progressively louder. Such
camera techniques highlight Pat’s vulnerability and potentially compensate for the immediacy of Pat’s writing style in the novel.

Although a first-person narration is not encountered in the film, his fast-paced, almost rambling, speech and brutal honesty (which allows him to express his thoughts unfiltered either in voice-over or in awkward dialogues) could aim at creating the same impression. Nonetheless, a similar depth of rationale and justification seems to be missing. On the other hand, scenes that are verbally narrated in the novel are multisemiotically embodied in the adaptation. For instance, Pat and Tiffany’s dance rehearsals, which are briefly summarised in the novel (in a chapter interestingly entitled “My movie’s montage”), are extensively shown onscreen with the accompanying soundtrack *Girl from the North Country* (1963). In fact, this is where Pat’s romantic feelings for Tiffany come to the fore, while the song’s lyrics, which talk about a past love, suggest that Pat’s focus shifts from Nikki onto Tiffany (see Appendix 1 for the complete lyrics). Such shifts are inextricably linked to the amplification of the romance (a Plot structure shift discussed above). The shifts in Narrative techniques are summarised in the table below:

<table>
<thead>
<tr>
<th>Temporal sequence</th>
<th>Modulation (duration)</th>
<th>Modification (order)</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pat’s period of hospitalisation is shorter than in the book.</td>
<td>The flashback to Pat’s violent episode takes place early on in the film, as opposed to the source novel.</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Tiffany’s marriage lasts less in the film than in the novel.</td>
<td>The truth about Tiffany’s background story comes earlier in the adaptation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The fight with the Giants fan at an Eagles game occurs later in the film compared to the book.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The revelation of Tiffany’s deceptive plan comes at the end in the novel but mid-way of the dance rehearsals in the film.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Presentation</th>
<th>Modulation (narration→narration)</th>
<th>Modification (narration→monstration)</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pat’s verbally communicating his self-improvement plan to his family, friends and therapist.</td>
<td>Tiffany’s offer to liaise between Pat and Nikki.</td>
<td>Added appearances of Danny.</td>
<td></td>
</tr>
<tr>
<td>Pat discussing the memory of the violent episode with his wife’s lover.</td>
<td>Pat and Tiffany’s dancing rehearsals and performance.</td>
<td>Added comic dialogues between Pat and Tiffany.</td>
<td></td>
</tr>
</tbody>
</table>
Pat’s comments on the happy ending of his mental health recovery.

Table 13: Narrative techniques adaptation shifts in Silver Linings Playbook

The fewest adaptation shifts in Narrative techniques are observed in The Devil Wears Prada (Frankel 2006), discussed below. As already mentioned, this film adaptation presents overall the fewest shifts across the corpus.

The Devil Wears Prada

As regards the temporal sequence in which the story is communicated, The Devil Wears Prada presents a phenomenon observed in The Notebook as well: the film adopts a more linear approach compared to the novel (modification shifts in temporal sequence relating to the order of events). In the adaptation, the audience watches Andy’s career progression from beginning to end, from her job interview with Miranda at Runway, to her quitting that job and getting a different one in a newspaper. On the other hand, the novel begins in media res, when Andy has already been hired at Runway; the opening pages present Andy rushing for Miranda’s errands amid heavy swearing and cursing. Andy later moves on to explain the particulars of her job by means of a flashback to her job interview. This is a common technique employed throughout the book. The narration is also interspersed with rhetorical questions doubting her supposed luck of working for Miranda Priestley, “the single most influential woman in the fashion industry” (Weisberger 2003: 17). These, combined with the past tense used to refer to Andy’s experience in Runway, suggest that the narrated events have already occurred and are delivered from a point of relative wisdom.

Furthermore, the film seems to condense time at certain points, thus inserting several ellipses (modulation shifts pertinent to the duration of events). In the book, Andy has been working for Miranda for almost a year before quitting. Although it is not clear how long Andy works in Runway in the film adaptation, most scenes feature winter clothes and the fashion week in Paris (where Andy decides to quit) takes place in the fall of the same year. Therefore, it can be assumed that Andy leaves Runway before a full year is completed. As a result, Andy’s transformation from naïve, poorly-dressed girl to acute, elegant woman seems to take place quite swiftly in the film (in the novel, this happens four months in her job as Miranda’s assistant). On the contrary, delivering the Book to Miranda’s house takes longer in the film; the Book “was a large wire-bound collection of pages as big as a phonebook, in which each current issue of Runway was mocked up and laid out” (Weisberger 2003: 117). In the film adaptation, the Book carries the additional symbolic value of Miranda’s trust, as she only lets people she
trusts leave the Book in her house (00:14:25). On grounds of the Book, Andy gets to see the argument between Miranda and her husband, for which she is later sort of punished as she has to accomplish an almost impossible task, i.e. obtaining the unpublished manuscript of *Harry Potter* for Miranda’s twin daughters. This is another instance which adds coherence to Miranda’s actions, as she assigns Andy the particular ‘mission impossible’ because Andy has discovered her troubled personal life.

The relative split in focus between Andy and Miranda influences Narrative techniques in the *presentation* aspect as well. As already mentioned, the story in the book is narrated in the first person. Consequently, characters, things and events reach the reader filtered through Andy’s perspective. In the film, most of them are directly shown (modification shifts). Given that the film adaptation places emphasis on Miranda as well, she is often juxtaposed to Andy as her alter ego (this links with Characterisation shifts, as argued in 4.2.3.). In fact, as soon as Andy realises that her behaviour resembles Miranda’s slyness, she quits her job. During this scene, the parallelism between the two women, which is pronounced by Miranda, is all the more underscored by the similarity in their outfits, given that both are black and have a similar cut in the bosom:

![Image 12: Miranda highlights the similarities between herself and Andy](image)

In addition, the description of the chaotic New York, the imposing buildings and the lavish clothes is replaced by pans and wide shots accompanied by upbeat soundtrack. For instance, Andy’s makeover is introduced by a wide shot of the closet with the designer clothes, then expanded into a 50-second long sequence of shots of Andy in different outfits and finally culminates in a full-body tilt of Andy, followed by Miranda’s subtle admiration. In a similar vein, the panic that the reference of Miranda’s name seems to inflict upon the *Runway* staff is captured in the cross-cuts showing Miranda walking towards the building and employees
dashing to sit in their offices, put on their high heels and refresh their makeup (since Miranda demands that everybody looks at their most stylish). The table below illustrates the adaptation shifts in Narrative techniques:

<table>
<thead>
<tr>
<th>Temporal sequence</th>
<th>Modulation (duration)</th>
<th>Modification (order)</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The time Andy spends at <em>Runway</em> is shorter in the adaptation.</td>
<td>The opening of the film (at the beginning of the story) vs. the opening of the novel (in the middle of action).</td>
<td>An added flashback during which Miranda explains her behaviour towards Nigel in voice-over.</td>
</tr>
<tr>
<td></td>
<td>Andy’s friendship with Lily counts fewer years in the film.</td>
<td>Andy’s makeover happens relatively sooner in the film compared to the novel.</td>
<td></td>
</tr>
<tr>
<td>Presentation</td>
<td>Modulation (narration→narration)</td>
<td>Modification (narration→monstration)</td>
<td>Mutation</td>
</tr>
<tr>
<td></td>
<td>Andy’s complaints about Miranda’s behaviour incorporated in dialogues with Nate and Nigel.</td>
<td>The havoc caused by Miranda’s appearance.</td>
<td>Added scenes highlighting the relationship between Andy and Miranda.</td>
</tr>
<tr>
<td></td>
<td>Emily’s instructions in voice-over regarding the procedure of the Book delivery.</td>
<td>The selection of the clothes for the cover of <em>Runway</em>.</td>
<td>Added instances focusing on Miranda in the action (e.g. her process of selecting the clothes for the photo shoots and an editorial meeting on the next issue of <em>Runway</em>).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Andy’s transformation process.</td>
<td>Omitted aspects from Andy’s background (e.g. her studies and the history behind her friendship with Lily).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>A staff meeting on the topics covered in the upcoming issue of the magazine.</td>
<td>Omitted information about Miranda’s past.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The fashion shows in Paris.</td>
<td></td>
</tr>
</tbody>
</table>

Table 14: Narrative techniques adaptation shifts in *The Devil Wears Prada*

The following sub-section focuses on the Narrative techniques shifts of *The Great Gatsby* (Clayton 1974) and *The Great Gatsby* (Luhrmann 2013). This is the category where these two adaptations present the biggest arithmetic difference, with 36 shifts in Clayton’s version and 49 shifts in Luhrmann’s version (see Table 10).

*The Great Gatsby*

As regards the temporal sequence of Narrative techniques, the film presents more modification shifts than modulation ones, i.e. more shifts concern the order of events rather than their duration. The 1974 film adaptation of *The Great Gatsby* recreates the original narrative by
slightly changing the order in which words are uttered and actions occur. For example, the private talk between Daisy and Nick, during which she confides in him her deep sadness (sharply contrasting with her former chirpy and carefree behaviour), takes place much later in the film compared to the book. In addition, it is not motivated by a similar chain of events which would highlight her sincerity. On the contrary, the relevant scene in the film adds a layer of pretence to Daisy’s conduct, thus underlining the honesty of the confessional instance in the novel.

Furthermore, the film does not include the flashbacks to Gatsby’s youth or to his former relationship with Daisy. Therefore, the audience misses the background information which could explain later events. The only attempt to include a semi-analectic instance of narration is a scene showing Gatsby in his military uniform and Daisy in a flowery dress dancing, while recounting moments of the past in voice-over. Their voices acquire an echoing quality which indicates a dream-like state or a memory; an effect which is all the more enhanced by the fuzzy edges of the image as the scene unfolds. It is not clear whether this is a memory or an actual recreation of their past, since Daisy specifically suggests that they wear the same clothes as they did on their departing date so as to revive their romance.

Temporally-wise, the 2013 adaptation does not exhibit notable shifts; the film maintains the flashbacks included in the book, while most added temporal translocations are necessitated by the fact that the narrator (i.e. Nick) tells the story from a sanatorium in 1929. With regard to presentation, the chief characteristic of the 2013 film version is the interpretive nature attributed to Nick’s voice-over, which is also elaborated at points. Put differently, the most remarkable shifts pertain to modulation (narration to narration). Similarly to The Notebook, the narrator’s voice-over and the characters’ dialogue acquire an editorial quality in terms of disambiguating events and steering viewers’ understanding. This effect is enhanced by the intersemiotic collaboration between audio and visuals. More specifically, voice-over narration often accompanies images which essentially depict what is narrated in the novel, while music simultaneously underscores the message conveyed by both voice-over narration and image. For instance, as Gatsby and Wolfsheim (i.e. Gatsby’s criminal associate) draw Nick into a speakeasy, where the period’s socio-political corrupted authorities congregate, the soundtrack “100$ Bill” accompanying the scene verbally underscores the abundance of alcohol consumption and prostitution (discussed in detail in 5.2.). In fact, songs hold a prominent position in this adaptation, as their lyrics encapsulate actual scenes described in the novel or resonate with the narrative’s main themes at crucial points within the film (elaborated in
Chapter 5). The following table summarises the Narrative techniques shifts in the two adaptations:

<table>
<thead>
<tr>
<th>Temporal sequence</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Modulation (duration)</strong></td>
</tr>
<tr>
<td>1974</td>
</tr>
<tr>
<td>Expanding on Gatsby and Daisy’s reunion.</td>
</tr>
<tr>
<td>Extending the interim period between separation and reunion (from five years in the book to eight years in the film).</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>2013</td>
</tr>
<tr>
<td>Gatsby’s mysterious business phone calls are prolonged in the adaptation.</td>
</tr>
<tr>
<td>Gatsby’s death is extended in duration in the film.</td>
</tr>
<tr>
<td><strong>Presentation</strong></td>
</tr>
<tr>
<td><strong>Modulation (narration→narration)</strong></td>
</tr>
<tr>
<td>1974</td>
</tr>
<tr>
<td>Nick introduces Daisy in voice-over.</td>
</tr>
<tr>
<td>Gatsby and Daisy talk about the past.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>2013</td>
</tr>
<tr>
<td>Nick introduces other characters and interprets their behaviour.</td>
</tr>
<tr>
<td>Gatsby talks about his dream.</td>
</tr>
<tr>
<td>Gatsby and Daisy contrast past and present.</td>
</tr>
<tr>
<td>Musical soundtrack commenting on depicted issues.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

Table 15: Narrative techniques adaptation shifts in the two film versions of *The Great Gatsby*

In what follows, the focus lies on the Characterisation shifts. Characterisation refers to the fictional character portrayals and the changes they undergo in the adaptation process as well as to the modified dynamics these changes create amongst the characters.
4.2.3. Characterisation

It needs to be noted that the most adaptation shifts observed across the corpus belong to the Characterisation aspect. *The Notebook* (Cassavetes 2004) presents the most Characterisation shifts, i.e. 48 shifts, as can be seen in Table 16; *Silver Linings Playbook* (Russell 2012), *The Great Gatsby* (Luhrmann 2013) and *P.S. I Love You* (LaGravenese 2007) are not much behind with 43, 41 and 40 shifts respectively, a number not much lower than that of *The Notebook* (i.e. 48 shifts).

As can be seen in Table 16, the majority of the examined film adaptations primarily *amplify* the characters, with the exception of *The Notebook* (Cassavetes 2004) and *Silver Linings Playbook* (Russell 2012), where the *dramatization* shifts outnumber *amplifications*; the difference is particularly noteworthy in *The Notebook* with 21 *dramatizations* as opposed to only 8 *amplifications*. Contrary to Plot structure, where *simplification* and *excision* shifts rarely take place, Table 16 shows that character *simplification* and *excision* is a frequent phenomenon; on the other hand, character *addition* occurs less often.

<table>
<thead>
<tr>
<th>Characterisation</th>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>P.S. I Love You</em></td>
<td>23</td>
<td>1</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td><em>The Notebook</em></td>
<td>8</td>
<td>9</td>
<td>21</td>
<td>7</td>
</tr>
<tr>
<td><em>Silver Linings Playbook</em></td>
<td>13</td>
<td>11</td>
<td>16</td>
<td>0</td>
</tr>
<tr>
<td><em>The Devil Wears Prada</em></td>
<td>14</td>
<td>4</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td><em>The Great Gatsby 1974</em></td>
<td>12</td>
<td>11</td>
<td>10</td>
<td>0</td>
</tr>
<tr>
<td><em>The Great Gatsby 2013</em></td>
<td>21</td>
<td>0</td>
<td>13</td>
<td>4</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>91</td>
<td>36</td>
<td>67</td>
<td>17</td>
</tr>
</tbody>
</table>

Table 16: Characterisation shifts across the corpus

Although the fewest Characterisation shifts seem to occur in *The Devil Wears Prada* (Frankel 2006), the number is still high (i.e. 27 shifts) and more than half of the highest number of Characterisation shifts across the corpus. Most Characterisation shifts pertain to the *modulation* type and, more specifically, to the *amplification* of characters. The *modification*
type of shifts is also frequent. As mentioned in 3.4.2., modification in Characterisation subsumes dramatization, objectification and sensualisation shifts. In the examined film adaptations, the most frequent type of modification shift encountered is dramatization.

P.S. I Love You

P.S. I Love you (LaGravenese 2007) presents the most amplification shifts (one type of modulation) in Characterisation across the corpus (see Table 16). Modification shifts also occur, as the film dramatizes, objectifies or sensualises most of the characters (yet to a much lesser extent than it amplifies them).

A particularly remarkable Characterisation shift is the amplification of Holly’s mother’s portrayal. In the book, Holly’s mother is presented as hesitant and unobtrusive, trying to keep her distance and allowing her daughter time to grieve. One of Holly’s two best friends, Sharon, takes up a strongly motherly role in the novel, shaking Holly out of the initial shock of Gerry’s loss and encouraging her to take the first steps towards recovery. The roles of the mother and Sharon are reversed in the film adaptation. Holly’s mother is much more imposing in the film, as she ‘invades’ Holly’s house with Ciara (i.e. Holly’s sister), Sharon and Sharon’s husband, urging Holly to attend to her personal hygiene. In the film, the mother comes across as very practical and tough, almost unsympathetic, initially. As it is gradually revealed, this is her way of protecting her daughters after her husband’s abandonment. On the other hand, Sharon’s character is simplified in the adaptation, as she merely retains the role of a friend, yet always protective of Holly and more reasonable than Denise (i.e. Holly’s other close friend).

Gerry’s character is also amplified in the film adaptation. In the novel, Gerry’s presence is evoked through Holly’s reminiscence, which makes his reference dependent on Holly initiating the memory. In the adaptation, Gerry appears physically through flashbacks and through Holly’s imagination for the most part of the film (until 01:32:37). Given that the film’s duration is 126 minutes, it can be argued that he dominates the film until that point. After 01:32:37, Holly’s presence becomes more salient, while Gerry’s presence fades; he exists only in Holly’s memories, without being physically present as a creation of her imagination.

Another character amplified in the film is Daniel. In the novel, Daniel is the owner of the pub where Holly’s brother’s band performs; in the film, he is an employee at the pub which Holly and her mother own. In addition, the filmic Daniel is portrayed as suffering from a condition which causes him to defy the social norms of politeness and to be openly outspoken.
The cinematic Daniel seems to combine some characteristics of Holly’s novelistic brother, Richard, who manifests a similarly awkward behaviour yet does not suffer from a condition. This instance of character hybridisation is also observed in The Notebook (Cassavetes 2004), as later argued. Daniel’s brutal honesty is the very feature on which his peculiar friendship with Holly is built. This characteristic interlinks Characterisation and Plot structure shifts. Such a change to Daniel’s character can be regarded as an index proper (McFarlane 1996), since it relates to characterisation. Daniel’s unconventional honesty results in actions and events not included in the novel; these can be viewed as catalysers (McFarlane 1996), as they themselves are not major events of the storyline.

Nonetheless, these changes have an impact on cardinal functions (McFarlane 1996): in the film, Holly does not experience romantic feelings for Daniel (as she does in the novel) but for another added character, i.e. William. Holly meets William on a trip in Ireland, which Gerry had planned for her before his death. William turns out to be Gerry’s childhood friend and resembles Gerry in many respects, both physically and idiosyncratically: they are both Irish, they both play the guitar and sing and they are dressed in a similar way. Apart from character additions, the adaptation also features excisions with regard to Holly’s family. While Holly’s family is “a strange mix of people” (Ahern 2004: 45) in the novel, consisting of both of her parents, three brothers and one sister, in the film, Holly’s brothers and father are excised. Holly’s father left her mother and younger sister when Holly was little, an image that sharply contrasts the frequent family dinners of the book.

As far as Holly is concerned, in the source novel, her character is construed in relation to her family and her friends, while in the film, Holly re-invents herself through relating to new people in her life (i.e. Daniel and William). As a result, it is difficult to conclude whether Holly is amplified or simplified in the film adaptation, since the novel and the film foreground different aspects of her character. A more conclusive finding seems to be in relation to the objectification and sensualisation that Holly’s character undergoes in the film. The film portrays Holly as a very good-looking woman who appears pretty and elegant even as a widow in mourning. On the contrary, Holly is not presented as outstandingly beautiful in the novel. She usually wears black, which matches her mood (Ahern 2004: 153), and her outfits are described but there are no extravagant comments on how good she looks. References to her physique concern mainly the weight she has lost due to her grief. Even as her psychological

---

16 Harry Connick Jr. (the actor who plays Daniel) has admitted in an interview (movieweb 2010) that his character suffers from Asperger’s syndrome. However, this is never explicitly stated in the film itself.
state improves, descriptions of her physical appearance are moderate, without exaggerations about her looks. The Characterisation shifts of *P.S. I Love You* are illustrated in the following table:

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Dramatization</td>
<td>Holly</td>
</tr>
<tr>
<td>· Holly’s mother</td>
<td></td>
<td></td>
</tr>
<tr>
<td>· Gerry</td>
<td></td>
<td></td>
</tr>
<tr>
<td>· Daniel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Simplification</td>
<td>Objectification</td>
<td>Excision</td>
</tr>
<tr>
<td>· Sharon</td>
<td></td>
<td></td>
</tr>
<tr>
<td>· Holly</td>
<td></td>
<td></td>
</tr>
<tr>
<td>· Holly’s three brothers and father</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sensualisation</td>
<td>Holly</td>
<td></td>
</tr>
</tbody>
</table>

**Table 17: Characterisation adaptation shifts in *P.S. I Love You***

In what follows, the discussion focuses on *The Notebook* (Cassavetes 2004), which presents the most Characterisation shifts (i.e. 48 shifts, as Table 16 shows), as previously mentioned. Nevertheless, with the exception of *The Devil Wears Prada*, the number of Characterisation shifts does not differ much among the rest of the examined adaptations.

**The Notebook**

The main difference between book and film is the amplification and dramatization of the young couple in the film adaptation. Both young Noah and Allie manifest impetuous – almost reckless – behaviour. Their portrayals are over-emphasised, whereas attention is counter-withdrawn from the aged couple (simplification shift, i.e. one of the two sub-types of modulation). Streamlining the narrative of the adaptation by excluding the letter-writing undercuts the complexity of the novelistic character portrayals. Even within the framed narrative, attention is shifted from the summer romance onto the reunion, where Noah and Allie, now mature and grown up, reflect on their relationship.

The emphasis placed on the main couple may explain the simplification of a secondary character, Lon. As previously mentioned, Lon is Allie’s fiancé. In the book, Lon comes across as more feisty and appears actively concerned about Allie’s suspicious behaviour. On the contrary, in the film, he appears to be more nonchalant: deeply absorbed in his work and rather naïve, he fails to notice Allie’s blatantly strange behaviour, which is also accompanied by extralinguistic clues such as trembling voice and fidgety posture. This shift intensifies the drama involved, as Allie’s truth-telling moment with Lon is directly depicted, and emotions – once again – rise.
Dramatic accentuations are similarly enhanced by – or result in – the *amplification* of Allie’s mother, Anne. Anne gains visibility in the film, where the underlying reasons of her dissension towards Allie and Noah’s romance come to the fore. A characteristic scene features Anne showing to Allie her own youth romance, who, similarly to Noah, comes from a humble social background; their short-lived relationship was likewise condemned by Anne’s wealthy family and it ended due to social differences. Anne breaks into tears, showing her sensitive, humane side and, thus, evoking the audience’s sympathy for her prior behaviour. Moreover, she exposes her own inability to rebel against her family’s will and the overall social situation, which at once increases the complexity of her character and *objectifies* her against socially-prescribed mightier agents.

A similar *objectification* shift can be observed in Allie’s character. In the film, she appears less confident than in the book and quite submissive to the decisions others make. In addition, she conveniently enjoys the comfortable lifestyle afforded by her engagement to Lon and unreservedly embraces the socially prefigured role of the trophy wife. On the contrary, in the novel, Allie stands out for her unconventionally defiant nature and openly rejects women’s socially (dis)formed position. Another instance of a female character’s *objectification* occurs with Martha Shaw. In the film, Martha Shaw is Noah’s widowed neighbour with whom he engages in a superficial relationship. Martha merges two novelistic characters: a) a waitress, older than Noah, “who taught him the ways to please a woman” (Sparks 1996: 27), and b) Noah’s widowed neighbour whom Noah often helps with machinery troubleshooting. Contrary to the novel, in the adaptation, Martha appears to poignantly ask Noah for more attention, begging for an emotional investment on his part. Furthermore, Martha is – quite ironically – shown bringing food to Noah and Allie and – even more ironically – having dinner with them, all those present fully aware of each other’s triangular relationships. An element that further underscores the voyeurism involved in this scene, as well as Martha’s objectification, is Allie’s peeking through the window as Noah and Martha exchange a goodbye kiss.

As can be concluded from the above, the film adaptation adopts a rather radical approach to character portrayals, capitalising on *dramatized* and *objectified* behaviour instances that are barely suggested in the novel. The Characterisation shifts are illustrated in the following table:
Table 18: Characterisation adaptation shifts in *The Notebook*

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Amplification</strong></td>
<td><strong>Dramatization</strong></td>
<td><strong>Addition</strong></td>
</tr>
<tr>
<td>Young Noah and Allie</td>
<td>Young Noah and Allie.</td>
<td>Martha Shaw’s hybrid character.</td>
</tr>
<tr>
<td>Allie’s mother</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Simplification</strong></td>
<td><strong>Objectification</strong></td>
<td><strong>Excision</strong></td>
</tr>
<tr>
<td>Aged Noah and Allie</td>
<td>Allie</td>
<td>Morris Goldman (Noah’s Jewish benefactor)</td>
</tr>
<tr>
<td>Lon</td>
<td>Anne</td>
<td>Gus (Noah’s African American neighbour and best friend)</td>
</tr>
<tr>
<td></td>
<td>Martha Shaw</td>
<td></td>
</tr>
</tbody>
</table>

The film adaptation under analysis in the following sub-section is *Silver Linings Playbook* (Russell 2012), which features a similar number of Characterisation shifts to *The Great Gatsby* (Luhrmann 2013), i.e. 43 and 41 shifts respectively (see Table 16).

**Silver Linings Playbook**

The intensification of Pat and Tiffany’s romance (an *amplification* shift in Plot structure) is inextricably linked with shifts observed in these character portrayals. Both exhibit *dramatized* behaviour (a sub-type of *modification*), such as emotional outbursts, rapid changes in mood and impulsive behaviour. Of course, it can be argued that such behaviours are caused by their mental health conditions. Nevertheless, there is a clear tendency of accentuation compared to the novel. The novelistic Pat comes across as a person who has reflected on his past mistakes and tries to make amends through his restorative daily regime: he works out excessively, he reads classic works of literature and has adopted a new philosophy of life which teaches him to be “kind instead of right” (Quick 2008: 51). As a result of these changes, he filters his thoughts and words before verbally expressing them. This creates a confessional communication with readers, as Pat registers his way of thinking in a stream-of-consciousness manner. On the other hand, the cinematic Pat is too vocal and expressive (a *dramatization* shift), which may be attributed to the fact that the introspective monologue could not possibly be as effectively transposed onscreen. The film deploys the cinematic means of capturing Pat’s confusion and haziness through combining his behaviour with blurred images accompanied by loud soundtrack. Nevertheless, the sophisticated rationalisation of his thoughts is downplayed to some extent, since Pat does not provide the elaborate justification of his behaviour as he does in the novel. As a result, it can be argued that Pat’s character is *simplified* in the adaptation in that the motivations leading to his actions are not brought to the fore.

Tiffany’s character is also *dramatized* in the film adaptation. She has emotional outbursts and mood swings, which may nonetheless be seen as stemming from her own fragile
mental health. Contrary to the novel, where Tiffany’s plan to persuade Pat to dance with her at a competition seems to be fine-tuned to the very last detail, in the film, her plan appears to be spontaneously created and step-by-step developed. Consequently, its frailty and deceit are often glaring: for example, every time Pat is near quitting, Tiffany puts up Nikki’s supposed letter as the carrot and the stick to keep him going. This comes in sharp contrast to the book, where Tiffany has thoroughly thought her plan through, taking into account legal implications that may arise from the restraining order in place between Pat and Nikki. Apart from Tiffany’s way of thinking and behaviour, both quite simplified in the adaptation, Pat’s commitment is weaker in the film as well (given that he frequently appears near giving up during the dance rehearsals). At the same time, his romantic feelings for Tiffany are more obviously expressed. As a result, it can be argued that the amplification of their romance (i.e. a Plot structure shift) interacts with the dramatization and simplification of the character portrayals (i.e. Characterisation shifts).

Contrary to the simplification of the two protagonists, minor characters are allowed greater space and time to develop. One of these is Pat’s father (Robert De Niro), who acquires a more complex dimension in the adaptation compared to the novel (amplification shift). In the book, Pat’s father hardly ever speaks to him. In addition, the father is presented as an abusive father and husband and the damaged relationships within the family are highlighted. In the novel, Pat is afraid of his father, while his attempts to strike up a conversation with him resemble a child’s seeking parental affection. The dynamics is completely overturned in the film adaptation. The father exhibits obsessive compulsive behaviour and, therefore, psychological issues become common to both father and son. What is more, the father repeatedly tries to approach Pat, in an effort to make up for past mistakes. It is obvious that the two did not always have a good relationship. This is often attributed to Pat’s erratic behaviour caused by his mental health disorder which remained undiagnosed for years. Nevertheless, Pat constantly turns down his father’s attempt to reach out to him and avoids spending time with his family.

As a result of the change in the father’s portrayal, Pat’s mother (Jacki Weaver) is amplified in the film adaptation, too. In the book, the mother is always by her son’s side and she is the one discharging him out of the clinic after consulting a new therapist and quite a few lawyers (Quick 2008: 6). It soon becomes clear that the father does not completely agree with her initiative. The mother frequently appears tormented by the negative atmosphere in the household and struggles to put up with her husband’s behaviour. On the other hand, in the film, the father-son relationship is better, or at least there is an active effort on the father’s part to improve it. Although the mother still tries to maintain the balance between a bipolar son and a
compulsive obsessive husband, her task is arguably more manageable given the father’s good intentions. It can be argued that the mother’s anguish to cope with an admittedly tense dynamics is underscored through the change of her name from “Jeanie” (in the book) to “Dolores” (in the film), which derives from the Spanish word “dolor” meaning “pain”. Furthermore, the fact that she often invokes her cooking in order to calm tempers indicates a housewife dedicated to her duties as a mother and wife, while her trembling voice adds to her character’s frailty. In both book and film, the common denominator is the mother who tries to help her son. However, given that in the film she also loves her husband deeply, her role as a stabiliser of opposing forces is rather amplified.

A minor character who is clearly amplified in the adaptation is Pat’s friend and former inmate in the psychiatric clinic, Danny. In the novel, readers find out about Danny and about the impact he has on Pat mainly indirectly, through Pat’s recounting some of their shared experiences. Only towards the end of the novel does Danny appear physically in Pat’s life, acting as his adviser on his relationship with Tiffany. By contrast, Danny appears frequently in the adaptation and underscores the comic aspects of the film. What is more, as the film progresses, Danny seems to be fully integrated into Pat’s family and thus his role becomes all the more prevalent. The following table illustrates the Characterisation shifts in *Silver Linings Playbook*:

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Dramatization</td>
<td>Addition</td>
</tr>
<tr>
<td>• Pat’s parents</td>
<td>• Pat</td>
<td>• A police officer who shows up whenever Pat is about to breach the restraining order.</td>
</tr>
<tr>
<td>• Danny</td>
<td>• Tiffany</td>
<td>• A student who follows Pat around to interview him on his mental disorder.</td>
</tr>
<tr>
<td>• Ronnie (Pat’s friend and Tiffany’s brother-in-law)</td>
<td>• Danny</td>
<td></td>
</tr>
<tr>
<td>• Jake</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Nikki (given that she appears towards the end of the film, which is not the case in the book)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Simplification</th>
<th>Objectification</th>
<th>Excision</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Pat</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>• Tiffany</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Table 19: Characterisation adaptation shifts in Silver Linings Playbook*

Contrary to *Silver Linings Playbook*, which features a quite high number of Characterisation shifts, *The Devil Wears Prada* (Frankel 2006), analysed below, presents the lowest number of shifts in this category, i.e. 29 shifts, as illustrated in Table 16.
The Devil Wears Prada

As mentioned above, the film adaptation gives an insight into many aspects of Miranda’s character and mind-set that the novel does not touch upon; thus, Miranda is amplified in the film. The shots leading to her introduction in the story also dramatize her persona: the camera firstly gives a close-up of her high heels as she strides towards Runway, while parallel shots depict the staff’s agonising preparation for her entrance.

Along with Miranda, Nigel, her trustworthy aide, is also amplified in the film adaptation. In the book, Nigel is presented as a big, muscular man with a loud voice (reflected on the upper-case font used to transcribe his words) who rarely appears in the story. Although Andy admits that he is one of the few people she likes in Runway, they do not develop the friendship portrayed in the film. In the adaptation, Nigel is Andy’s ally, who advises her on how to cope with her job and helps her improve her style. Apart from his dynamics with Andy, often hinged upon sarcastic remarks on her figure and dressing choices, the film also focuses on Nigel’s own professional aspirations, later betrayed by Miranda. Nigel does not enjoy a similar multifaceted treatment in the novel, where he merely remains an imposing figure and the only person allowed more liberties with Miranda.

On the simplification side, the characters most affected are Nate and Lily. Andy’s boyfriend (Nate in the film, Alex in the book) is deeply humanitarian in the novel, as he teaches underprivileged children in Bronx and actively engages with their personal mishaps. In addition, he encourages Andy in her new post and remains patient even when Andy works long hours and skips their dates. Alex tries to alert Andy to Lily’s aggravating drinking problems and he is the one taking care of Lily while she is in a coma. In the end, after Andy quits Runway and tries to make up for her past mistakes, Alex refuses a reconciliation claiming that they have grown apart during the time Andy had been Miranda’s assistant. On the other hand, Andy’s cinematic boyfriend (i.e. Nate) is less vocal or dynamic and his character portrayal is overall less complex. Both he and Andy struggle with their finances, as there are often references to their difficulty paying bills and rent. This is the main difference between Nate and Andy as soon as she starts adopting the expensive lifestyle of Runway. However, they mend their relationship in the end and the film has thus a happy ending.

Lily is even more simplified in the film adaptation. In the novel, Lily has an intricate background story, having been abandoned by her parents and growing up to love Russian literature, which is her PhD topic. At the same time, Lily is described as a free spirit (Weisberger 2003: 88) who nevertheless enjoys drinking a little too much. Gradually, this develops into an
addiction, which Andy fails to notice due to her energy-consuming job. Lily’s drinking problem is exposed when she has a car accident while drunk, which leaves her in a coma. This occurs while Andy is in Paris with Miranda and serves as Andy’s breaking point, causing her to realise that she cannot neglect the people in her life any longer. In contrast, in the film, Lily appears as Andy’s 16-year long friend who gets disappointed in Andy for letting her job change her character. Nevertheless, Lily does not seem to have a complicated life story as in the book or a similar alarming function for Andy’s life-changing decision (since Andy decides to quit after Miranda’s remarks on their likeness).

As far as Andy is concerned, it can be argued that her character is also simplified to some extent. The simplification of Andy’s character may inter-relate with Miranda’s amplification and vice versa, given that both women have lead roles in the film adaptation (and that, quite importantly, Miranda is portrayed by Meryl Streep). In the novel, Andy appears to confide in the reader (as happens in *The Silver Linings Playbook*), especially when her inner thoughts radically differ to her dialogues with other characters, thus creating a double-conversation pattern. For example, while Andy replies politely when asked about her job, inside she curses on her luck for being Miranda’s assistant. Both of these utterances are communicated to the reader thereby creating a confidential rapport with the readership. In contrast, the film does not try to capture Andy’s perspective, as *Silver Linings Playbook* does, for instance. In the novel, Andy is portrayed with a keen interest in literature and journalism and the relevant information around her studies and ambitions reinforce her strong will to achieve her goals. Admittedly, this aspect of Andy’s determination is maintained in the film adaptation, as she deviates from her family’s plans to see her as a lawyer and pursues her dream of becoming a journalist, which is why she accepts the job at *Runway* (similarly to the book). Nonetheless, in the film, Andy seems to encapsulate the Cinderella trope of a girl who learns life, work and style lessons the hard way (a criticism made in film reviews as well, as will be later argued). Furthermore, she is frequently objectified and sensualised through reiterative shots which focus on her figure and outfits as well as through her behaviour towards Christian. As noted in Table 3, Christian is a famous writer whom Andy coincidentally meets and who can assist her in networking with well-known publishers. During their first meeting in the film, Andy can hardly reserve her enthusiasm and admiration for Christian, thus encouraging his patronising attitude towards her. On the other hand, in the novel, Andy does not allow her eagerness to show in front of Christian and all in all keeps her feelings under control – even though Christian is much
more arrogant and persistent than in the film. The Characterisation shifts are summarised in the following table:

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Dramatization</td>
<td>Addition</td>
</tr>
<tr>
<td>• Miranda</td>
<td>• Miranda</td>
<td>Jacqueline Follet (the editor of the French Runway and Miranda’s antagonist)</td>
</tr>
<tr>
<td>• Nigel</td>
<td>• Andy</td>
<td></td>
</tr>
<tr>
<td>• Christian</td>
<td>• Emily (Miranda’s senior assistant)</td>
<td></td>
</tr>
<tr>
<td>Simplification</td>
<td>Objectification</td>
<td>Excision</td>
</tr>
<tr>
<td>Andy</td>
<td>Andy</td>
<td>Members of Andy’s family, i.e. her sister, her brother-in-law and her nephew.</td>
</tr>
</tbody>
</table>

Table 20: Characterisation adaptation shifts in The Devil Wears Prada

In what follows, the discussion centres on the two film versions of The Great Gatsby and their respective treatment of the character portrayals.

The Great Gatsby
As already mentioned in 4.2.1., the 1974 film version amplifies the love story between Gatsby and Daisy, as a result of which the characters are also amplified. Of course, it can be argued that the emphasis put on the romance can be seen as a consequence of the recognisability that the two protagonists (i.e. Robert Redford and Mia Farrow) were increasingly gaining at the time. By contrast, Nick’s character is simplified and made less visible throughout the film. As far as Daisy is concerned, her immersion in the wealthy lifestyle and complicity in Gatsby’s tragic end are highlighted. She is portrayed as conscious of her decisions and actions, although she does not assume responsibility for their impact on others. Moreover, her reactions are underscored through emotional outbursts and extreme close-ups (dramatization shift). In the novel, Daisy’s portrayal is more subtle and less frivolous; Nick speaks of her as the less corrupted person in an environment that engenders carelessness. Even when it dawns on him that Daisy was never really interested in Gatsby, he presents this as a trait of her nature which she cannot help, a nature-product of its surroundings. Another character that is amplified is Myrtle (i.e. Tom’s affair); not only is she presented as quite attractive and delicate (contrary to her voluptuous and slightly overweight description in the book), but she also enjoys close shots and frequently exhibits dramatic reactions. Her affair with Tom is emphasised through the addition of scenes which show Tom give Myrtle expensive gifts, spending time with her while Daisy enjoys her own adulterous relationship with Gatsby.

As regards Gatsby, his mysterious persona is inflated, as he sends ‘his men’ to bring Nick to his study or to violently accompany one of his guests to the mansion’s exit. However,
there is no access to his inner essence, neither direct (i.e. Gatsby talking about his background) nor indirect (i.e. through Nick’s voice-over), given that Nick loses most of his narratorial part in the film. Therefore, there is a double effect of character amplification and simplification; assuming that Gatsby had developed a two-faced construct of personality, it can be argued that the pretentious aspect is overemphasised against his more vulnerable and honest aspect.

Comparing the 1974 and the 2013 film versions, the 2013 adaptation seems to adopt the opposite approaches to character portrayals. More specifically, Nick acquires quite a salient part in communicating Gatsby’s story to the audience (amplification shift); he contextualises the events, explicitly states their chronology and interprets them against the social backdrop. Interestingly, his narratorial role is internalised. Put differently, his telling and explaining details of Gatsby’s story is meant to help himself face his inner demons and eventually recover from alcoholism. The fact that such internalisation does not exist in the source novel further emphasises Nick’s character.

In addition, Daisy is overall simplified and chiefly presented as the motoring force fuelling Gatsby’s dream. She presumably regrets her past choices and seems unhappy with her present life, which indicates a romanticised depiction of hers (which is not suggested in the book). She is also objectified at points in that she is closely associated with valuable possessions; for instance, her destiny is defined by the expensive string of pearls with which Tom essentially buys her love, while Gatsby’s elegant shirts spur her admiration and excitement. Daisy’s objectification and submissiveness are enhanced by the emphasis placed on Tom’s brutality and crudeness. In the 2013 film adaptation, Tom is constantly depicted as physically intimidating and assertive, evolving into Gatsby’s overpowering opponent. The bone of contention is not only Daisy, but also a sense of self-worth which Gatsby has strived to achieve throughout his life.

This brings the discussion to the amplification of the story’s central character, i.e. Gatsby. The fact that Gatsby’s psychological makeup and way of thinking are externalised through him talking amplifies his “romantic readiness” (Fitzgerald 1925: 11) as well as his tragedy. Gatsby is portrayed as both the hero and the antihero of his own story. Scenes where Gatsby is shown to talk passionately about the unreachable dream before Nick’s disillusioned eyes expose Gatsby to the audience as a deeply obsessed caricature of a man who was consumed by his hypertrophic ambition. Gatsby managed to emerge from his humble origins and build a dream for himself, which nevertheless turned into a psychotic delusion. In this way, Gatsby comes to represent all those pursuing the unattainable dream, while the emphasis placed on the
socio-economic context draws parallel lines across eras and, possibly, cultures. This issue is further explored in 4.2.4. The table below illustrates the Characterisation shifts observed in the two film versions:

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Dramatization</td>
<td>Addition</td>
</tr>
</tbody>
</table>

1974

- Daisy
- Myrtle
- Gatsby’s mysterious persona

- Daisy
- Myrtle
- Gatsby’s portrayal as a gangster
- George

The detective that Tom hires to look into Gatsby’s past.

2013

- Nick
- Tom
- Gatsby
- Wolfsheim
- Myrtle

- Gatsby
- Wolfsheim
- Myrtle

Nick’s doctor at the sanatorium.

Simplification

<table>
<thead>
<tr>
<th>Objectification</th>
<th>Excision</th>
</tr>
</thead>
</table>

1974

- Nick
- Gatsby’s inner motivation

N/A

- Immigrants (i.e. gypsies, Italian, African American, Finnish, Greek characters who may serve minor functions but nevertheless paint the socio-political context of the period with vibrant colours)
- Dan Cody (i.e. Gatsby’s benefactor)

2013

N/A

- Myrtle
- Daisy

Gatsby’s father.

Table 21: Characterisation adaptation shifts in the two film versions of The Great Gatsby

In what follows, attention is shifted onto the adaptation shifts observed in Setting, i.e. the temporal and spatial context within which the fictional story takes place. In most of the examined film adaptations, Setting is the aspect least affected in the cinematic transposition.

4.2.4. Setting

As previously mentioned, Setting is where the fewest adaptation shifts occur in the analysed film adaptations. The total number of shifts across the corpus (i.e. 85) is much lower than the number of any of the categories already examined (i.e. 219, 208 and 237 for Plot structure, Narrative techniques and Characterisation respectively). The Great Gatsby (Luhrmann 2013) is the adaptation with the most Setting shifts (i.e. 24), while P.S. I Love You (LaGravenese
2007) features four times fewer shifts, i.e. 6 shifts, almost as many as *The Devil Wears Prada* (Frankel 2006), i.e. 7 shifts:

<table>
<thead>
<tr>
<th></th>
<th>Temporal</th>
<th>Spatial</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>P.S. I Love You</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>The Notebook</strong></td>
<td>8</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td><strong>Silver Linings Playbook</strong></td>
<td>5</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td><strong>The Devil Wears Prada</strong></td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>The Great Gatsby 1974</strong></td>
<td>10</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td><strong>The Great Gatsby 2013</strong></td>
<td>8</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>31</td>
<td>1</td>
<td>3</td>
</tr>
</tbody>
</table>

**Table 22: Setting shifts across the corpus**

Shifts in *temporal* Setting do not differ much arithmetically from those in *spatial* Setting. Where Setting shifts exist, these focus on the *amplification* of either the *temporal* or the *spatial* Setting, or both. However, although all adaptations present *amplifications* in the *spatial* Setting, this does not hold for the *temporal* Setting: *P.S. I Love You* (LaGravenese 2007) and *The Devil Wears Prada* (Frankel 2006) leave the *temporal* Setting unaffected, while these two adaptations along with *The Great Gatsby* (Luhrmann 2013) alter the *spatial* Setting twice each.

**P.S. I Love You**

As happens with most of the examined film adaptations, Setting does not present many shifts in *P.S. I Love You* (LaGravenese 2007). This is the adaptation with the fewest Setting shifts. In fact, no change was observed with respect to the *temporal* Setting. As regards the *spatial* aspect, the most notable shift is its *alteration* (*modification* sub-type). The source novel is set in Ireland and all characters are Irish. By contrast, the film adaptation is set in New York, and only Gerry is Irish. Put differently, the film has been ‘Americanised’, possibly in order to mainstream the narrative for a wider audience (analysed in Chapter 5).
Nevertheless, Ireland does play an important part in the film as location. Holly first meets Gerry in Ireland while on a college trip. This is where she also meets William, Gerry’s idiosyncratic lookalike. Therefore, Ireland seems to carry a symbolic value in the adaptation with regard to Holly’s personal life. This trip to Ireland involves another Setting alteration, as the destination of the same trip is Spain in the novel. Moreover, the Irish landscape is frequently amplified intersemiotically, i.e. through pans and aerial shots, Irish music and through Gerry’s and William’s distinct Irish accents. In the film, Ireland is associated with positive memories and instances, which amplifies the spatial Setting on a larger scale in the narrative. The fact that Holly is American and visits Ireland as a holiday destination allows for a comparison with the American landscape; this is further sustained by references to several stereotypes about the differences between American and Irish people, also discussed in Chapter 5. The table below summarises the scant Setting shifts of *P.S. I Love You*:

<table>
<thead>
<tr>
<th>Temporal Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Simplification</td>
<td>Excision</td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Spatial Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>The Irish landscape is amplified by means of panoramic shots, Irish music, Gerry’s and William’s Irish accents.</td>
<td>The narrative is relocated from Ireland to New York.</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>Holly goes on a trip to Ireland and not to Spain, as in the book.</td>
<td></td>
</tr>
<tr>
<td>Simplification</td>
<td>Excision</td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

Table 23: Setting adaptation shifts in *P.S. I Love You*

Contrary to *P.S. I Love You*, which presents the fewest shifts in the category of Setting, the following film adaptation moves towards the other end of the spectrum; *The Notebook* (Cassavetes 2004) comes second in numbers, with 17 shifts as opposed to only 6 shifts of *P.S. I Love You* (see Table 22).

**The Notebook**

As far as the temporal Setting is concerned, the main change relates to the different year in which the young couple’s romance begins, i.e. 1932 in the novel as opposed to 1940 in the film (i.e. alteration of the temporal Setting – a modification sub-type of shift). Placing the relationship in such a social and historical crux propels the action and attributes a distinctly
dramatic overtone to the film adaptation. Moreover, the interim period between the end of the romance and the reunion is cut in half. Nevertheless, the *mise-en-scène* allows for the changes to be visibly manifested through the protagonists’ physical appearance: Noah grows a beard and Allie’s hairstyle and clothes reflect the years that have passed (while underlining the social difference between her and Noah).

Furthermore, the *temporal* context is *amplified* in the film through highlighting the social obligations of women at the time as well as through underscoring Allie and Noah’s social clash. It is worth noting that the adaptation adds a Sunday lunch event (Image 13), where Allie’s wealthy family and friends, all dressed in white, embarrass Noah on grounds of his income, rendering him the black sheep of the gathering, quite literally so, as he is the only one dressed in black. This colour contrast qualifies as a subversive use of white and black and their conventional symbolic values of good and bad respectively, given that the person in black is the butt of the joke in this instance.

![Image 13: Noah’s lunch with Allie’s family](image.png)

As regards the *spatial* Setting, the adaptation moves the story from North Carolina (where it is set in the novel) to South Carolina (*alteration* of the *spatial* Setting). This allows for endowing the characters with a distinct southern accent which *amplifies* the Setting and, in some cases, functions as a characterisation index: Allie’s parents have the strongest accent, which may be seen as agreeing with their villainous role in the story (as they do not consent to Allie and Noah’s romance). The following table summarises the adaptation shifts in the *temporal* and *spatial* Setting of the narrative:
<table>
<thead>
<tr>
<th>Temporal Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>• The social circumstances of the period.</td>
<td>• The beginning of the framed narrative changes from 1932 to 1940.</td>
<td>N/A</td>
</tr>
<tr>
<td>• The war and the concomitant social turmoil.</td>
<td>• The time lapse between the summer romance and the reunion is reduced to 7 years.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Simplification</th>
<th>Excision</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>Omitting 7 years from the narrative (between the time when Allie and Noah break up and when they meet again).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Spatial Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>The southern character is emphasised through accent and cultural aspects (e.g. music, dance).</td>
<td>The narrative relocates from North Carolina to South Carolina.</td>
<td>Noah’s journey to Charleston (where he coincidentally sees Allie with Lon).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Simplification</th>
<th>Excision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Toning down the natural element emerging from Noah’s relationship with nature and his leisure activities (distinctly apparent in the novel).</td>
<td>The places to which Noah travelled after the break-up (i.e. Norfolk, New Jersey, Winston-Salem).</td>
</tr>
</tbody>
</table>

Table 24: Setting adaptation shifts in The Notebook

The following sub-section examines the Setting shifts in Silver Linings Playbook (Russell 2012), which presents fewer Setting shifts compared to The Notebook; there are 10 Setting shifts in Silver Linings Playbook but 17 shifts in The Notebook (as can be seen in Table 22).

Silver Linings Playbook

Setting, both in its temporal and its spatial dimension, is not changed much in Silver Linings Playbook (Russell 2012). The story unfolds in the contemporary time in both the novel and in the film. This means that the story time is 2008 in the novel and 2012 in the film. Therefore, this also means that there is an alteration shift (modification sub-type) in the temporal Setting. The temporal Setting is amplified through the change in Eagles football players whose names are mentioned frequently in the novel and the adaptation. In the book, Pat is given a jersey with Hank Baskett’s name and number on; Baskett was the star player of the Eagles in 2008 (Maaddi 2009). Given that Pat had spent almost four years in the clinic, he has missed many events that have happened in the meantime and, thus, does not recognise Baskett’s name (Quick 2008: 28). In the adaptation, “Hank Baskett” is replaced with “DeSean Jackson”, who was still playing
Taking into account the four-year difference between the book’s publication and the film’s release, and the events that had transpired during this time lapse, certain Characterisation shifts may link with the amplification of the temporal Setting in the film adaptation. More specifically, Ronnie (i.e. Pat’s friend) experiences a constant angst to make money and prove accountable to his family and colleagues. Contrary to the book, where Ronnie is the successful family man, who somewhat looks down on Pat for his mental disorder, in the film, Ronnie appears overwhelmed by his multiple responsibilities (and by a domineering wife). Ronnie’s agony for his finances could link with the economic crisis that broke out in 2008. His anxiety strikes Pat as in need of psychological help. However, Ronnie counter-argues that this is normal and common to many people. As a result, Pat’s hyperactive behaviour, a symptom of his bipolar disorder, is juxtaposed with Ronnie’s behaviour, which is a common behavioural characteristic in that period. In addition, the difference between Pat, who had just got out of a psychiatric institution, and his family and friends, who had never been hospitalised, and are thus considered mentally stable, is all the more underscored. Pat is frequently taken aback by the similarities between his erratic behaviour (triggered by his mental health problem) and the behaviour of ‘mentally stable’ people. Therefore, the notion of ‘normal’ and its definition are also put under scrutiny before the audience’s eyes.

As far as spatial Setting is concerned, the adaptation seems to keep this aspect as highlighted as it is in the source novel through repetitive references to the Eagles (i.e. an American football team that is based in Philadelphia) and to several places in Philadelphia. Venues and areas of Philadelphia that are named in the book as Pat jogs by them are depicted in a sequence of shots in the film. Furthermore, as Bradley Cooper admits in an interview (DP/30: The Oral History Of Hollywood 2012), he tried to – literally – accentuate the Philadelphian aspect of the character by exaggerating his accent and idiolect (amplification of the spatial Setting). Therefore, the element of space is important in both media. In the following table, the adaptation shifts that pertain to Setting are outlined:
### Temporal

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>- The pursuit of money and success.</td>
<td>- The story is set in 2008 in the novel but in 2012 in the film.</td>
<td>N/A</td>
</tr>
<tr>
<td>Simplification</td>
<td>Excision</td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td>- Omitting more than 3 years from Pat’s hospitalisation.</td>
<td>- Shortening Tiffany’s marriage from 10 years (in the book) to 3 months (in the film).</td>
</tr>
</tbody>
</table>

### Spatial

<table>
<thead>
<tr>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>- Emphasising the Philadelphian context through accent.</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Simplification</td>
<td>Excision</td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Table 25: Setting adaptation shifts in Silver Linings Playbook</th>
</tr>
</thead>
<tbody>
<tr>
<td>Silver Linings Playbook and The Devil Wears Prada do not differ much in numbers with regard to Setting shifts. The Devil Wears Prada and P.S. I Love You are the only film adaptations of the corpus which do not present any shifts in temporal Setting. The Setting shifts of The Devil Wears Prada are discussed below.</td>
</tr>
<tr>
<td><strong>The Devil Wears Prada</strong></td>
</tr>
<tr>
<td>In both the book and the film, the time of Andy’s experience remains modern-day yet relatively vague. More emphasis is rather placed on the spatial Setting, i.e. New York (amplification of the spatial Setting). The novel highlights Andy’s difficulty in coping with the chaotic city, especially the first few times that she needs to go to Runway and cannot spot the exact address. Andy comes from Avon, Connecticut (Weisberger 2003: 10), and has to relocate as soon as she gets hired. On the other hand, in the film, Andy seems to have already been living in New York prior to her job in Runway. As a result, she appears more accustomed to its hustle. The spatial Setting is all the more amplified through aerial shots and traffic claxons that capture the fast-paced life rhythms. Moreover, Miranda’s and Nigel’s brief monologues on the fashion industry underscore the setting of Runway, both as a corporate environment and as a vital motor of trend-creation.</td>
</tr>
<tr>
<td>In the novel, Andy retains a negative attitude towards the mentality involved in the fashion industry; she despises the body-type stereotypes created through Runway and she often undermines the money spent for Miranda’s demands by providing hot drinks to homeless</td>
</tr>
</tbody>
</table>
people and by giving generous tips to taxi-drivers. In contrast, in the film, Andy at first looks down on all that Runway represents, yet she grows more understanding and sympathetic as she gets closer to Nigel and Miranda. Although she eventually negates the corruption underlying the industry, her opposition is not as clearly pronounced as in the novel. An overview of the admittedly scarce Setting shifts is illustrated in the following table:

<table>
<thead>
<tr>
<th>Temporal Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>Simplification</td>
<td>N/A</td>
<td>Excision</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Spatial Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Simplification</td>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

The fashion industry.

- In the novel, Andy comes from Avon, Connecticut, but from Chicago, in the film.
- In the end of the novel, Andy finds a job in Seventeen magazine; in the film, she gets a job in The New York Mirror.
- Boston, where Nate gets his new job as a sous-chef.

Table 26: Setting adaptation shifts in The Devil Wears Prada

In what follows, the discussion focuses on the two versions of The Great Gatsby and the ways they manipulate the temporal and spatial dimensions of Setting.

The Great Gatsby

With regard to the temporal Setting of the narrative, the 1974 film version frequently amplifies the affluence of the period, which is contrasted with the desolation observed in Gatsby’s mansion after his death. Furthermore, jazz music and Charleston dance – two cultural trademarks of the period – are highlighted through wide shots of the parties and close-ups on dancing moves.

The racist views of the time are conveyed through Tom’s reference to Goddard’s The Rise of Coloured Empires (00:08:15), which also appears in the source novel on page 21. Interestingly, this is not a real book, but an allusion to Stoddard’s The Threat against White World Supremacy: The Rising Tide of Color, in which references to racism and colonialism are evident (Internet Archive n.d.). The fact that Tom refers to a fictitious book while attesting to
its scientific authority (both in novel and adaptation) underlines the widely held credibility of the written word and the misconception that ideologies are scientifically proven constructs. Nevertheless, as noted in Table 21, the adaptation does not include the racial variety that populated New York at the time, as often mentioned in the novel. In this way, the film simplifies aspects of the temporal Setting while creating a contradiction between the ‘imminent threat’ advocated by Tom and the given image of the period’s society. Despite such simplification, other aspects of the socio-temporal setting are amplified. For instance, the vanity of the period is underscored through scenes where Daisy and Myrtle relish the expensive lifestyle that Tom affords them. The 1974 adaptation also captures the source novel’s stance towards women’s looking-good-but-acting-fool social position of the time (through Daisy’s claiming that “the best thing a girl can be is a beautiful little fool” (00:27:12) and that “beautiful little fools can wear any colour they want” (02:00:39)).

A similar amplification of the temporal Setting is obvious in the 2013 film version. Along with the superfluous abundance of wealth at the time, decadence is also highlighted. Corruption and promiscuity are painted with vivid colours in the speakeasy where Gatsby, Wolfsheim and Nick have lunch: official authorities such as commissioners and senators happily co-exist with gangsters and bootleggers. The adaptation accentuates the underground quality through loud music and dancing acts which remind of a brothel. This can be seen as the adapter’s reinterpretation of the place, since the novel does not provide similar details.

What is more, the film draws parallel lines with contemporary reality by placing the narrative present in 1929, when the Great Depression starts taking place, and by adding hip-hop touches to the soundtrack. Nick’s voice-over, which elaborates on the money-making craze of 1920s (only to be shuttered a few years later), can be easily viewed as analogous to the modern-day context. Moreover, Gatsby’s extended monologues and emotional breakdown emphasise the psychotic dream to always conquer more. Although both the source novel and the two film versions make reference to the period’s racist views, the 2013 adaptation additionally touches upon an intrinsic sense of inequality that torments individuals regardless of race. The film underlines the insecurity of the self-made individual, who has nonetheless founded his wealth and reputation on shaky ground and comes to claim equality by flourishing through clandestine activities.

Much of the emphasis placed on the temporal Setting works together with amplifying the spatial aspects as well. In the 1974 adaptation, the shots depicting Gatsby’s lavish parties simultaneously capture the immense size of the mansion. Gatsby’s and Tom’s glamorous
houses are juxtaposed with the industrialised valley of ashes, where George and Myrtle’s garage is located. The wide range of sparkling colours used to depict the interior of Tom’s house, as well as Daisy’s clothes and jewellery, is sharply contrasted with the gloomy “farm where ashes grow like wheat into ridges and hills and grotesque gardens” (Fitzgerald 1925: 29). Fitzgerald carefully selects his colour palette to paint white and bright anything related to the wealthy side of the city but grey and solemn all that is on the other end. This is obvious in the adaptation as well: white is extensively used in the introductory scenes of Daisy at the house, while smoke and greyness characterise the valley of ashes. Another distinctive element of the spatial Setting is the all-watching oculist advertisement of Dr T.J. Eckleburg, whose austere presence is distinct in the novel:

The eyes of Dr T.J. Eckleburg are blue and gigantic – their retinas are one yard high. They look out of no face, but, instead, from a pair of enormous yellow spectacles which pass over a non-existent nose. […] [H]is eyes, dimmed a little by many paintless days, under sun and rain, brood on over the solemn dumping ground.

(Fitzgerald 1925: 29)

The advertisement is quite imposing in the film as well, while Nick’s voice-over (pronouncing the description almost verbatim) heightens the authoritarian effect of the image:

Image 14: The advertisement in the 1974 film adaptation
In a similar vein, the 2013 film adaptation also maintains Dr T.J. Eckleburg’s overwhelming look:

![Image 15: The advertisement in the 2013 film adaptation](image)

The deployment of computer-aided cinematography enhances the spatial Setting and the contrast between colour tones, as the director admits in an interview (The World of Movies 2013a). Shots of hustling stock-markets and a crowded Wall Street further amplify the Setting; the same effect is at work with regard to Gatsby’s castle-like mansion and Tom’s massive villa. As previously pointed out, Gatsby’s wealth is highlighted in the 1974 film version as well. The 2013 adaptation alters the spatial setting which accommodates the narrator by introducing the sanatorium where Nick is hospitalised; the sanatorium’s hazy and bleak colours indicate the ailing state of 1929 and run up against bygone vibrant times. The table below outlines the Setting adaptation shifts:

<table>
<thead>
<tr>
<th>Temporal Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amplification</td>
<td>Alteration</td>
<td>Addition</td>
</tr>
<tr>
<td>1974</td>
<td>N/A</td>
<td>Extending the interim period between Gatsby and Daisy’s reunion by 3 years.</td>
</tr>
<tr>
<td>• Cultural aspects of the period, e.g. jazz music and Charleston.</td>
<td>• Extravaganza of parties.</td>
<td>• Social differences between races.</td>
</tr>
<tr>
<td>• Women’s social status.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td>The narrator tells the story in 1929.</td>
<td>The framing narrative in 1929.</td>
</tr>
<tr>
<td>• Cultural aspects of the period (e.g. jazz music) imbued with modern-day elements (e.g. hip-hop remixes).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Extravaganza and corruption of period.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
• Social differences between and within races.
• Contemporary socio-economic decadence.

<table>
<thead>
<tr>
<th>Simplification</th>
<th>Excision</th>
</tr>
</thead>
<tbody>
<tr>
<td>1974</td>
<td></td>
</tr>
<tr>
<td>The various races dwelling in New York.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Spatial</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Modulation</td>
<td>Modification</td>
</tr>
<tr>
<td>Amplification</td>
<td>Alteration</td>
</tr>
<tr>
<td>1974</td>
<td>N/A</td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td>N/A</td>
</tr>
<tr>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Simplification</th>
<th>Excision</th>
</tr>
</thead>
<tbody>
<tr>
<td>1974</td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Table 27: Setting adaptation shifts in the two film versions of The Great Gatsby</th>
</tr>
</thead>
<tbody>
<tr>
<td>In this chapter, the focus lay on mapping the identified adaptation shifts onto the descriptive categories of the model. The analysis has shown that there are certain narrative aspects where adaptation shifts can be observed, in some more than in others. The categories with the most shifts were found to be Characterisation (237 shifts) and Plot structure (219 shifts). It has also become clear that shifts in all the categories are inter-related. Although not a single adaptation scores the highest in all categories, The Notebook has the most adaptation shifts across the corpus and it has the most shifts in two categories, namely Narrative techniques (50 shifts) and Characterisation (48 shifts). However, Silver Linings Playbook presents 53 shifts in Plot Structure, although this category is not the one with the most shifts.</td>
</tr>
<tr>
<td>These observations highlight the fact that specific shift patterns may not be easy to discern. What seems to be more feasible is looking into the reasons why these shifts eventually appear in the final film product. Such an analysis can shed light on the more general rationale</td>
</tr>
</tbody>
</table>
involved in the adaptation process. This is the focus of the following chapter, which provides a paratext analysis for the novel-film pairs and implements the interpretive categories of the model (i.e. economic, creative and social reasons) in order to deconstruct the adaptation shifts discussed in this chapter.
5. From shift analysis to shift patterns

This chapter highlights the patterns that can emerge from the adaptation shifts analysed in Chapter 4. It is assumed that there may be similarities in the shift types of each category across the corpus of examined films. Even though it will be difficult to generalise due to the small size of the corpus, the following observations can serve as a springboard for investigating the elements that usually undergo changes in the adaptation process. The patterns are then explained by means of paratexts pertinent to the respective film adaptations (an overview of all the paratexts is included in Table 2 in Chapter 3). The emphasis placed on the link between the shifts and the paratexts gives rise to certain reasons that motivate these changes. As a result, this chapter shifts attention to the second Research Question posed in this project, which concerns the systematic explanation of the adaptation shifts (see 3.1.).

Similarly to Chapter 4, the discussion follows the structure of descriptive categories (i.e. Plot structure, Narrative techniques, Characterisation and Setting). The interpretive categories of economic, creative and social reasons are integrated within the discussion in each descriptive category.

5.1. Plot structure

As far as Plot structure is concerned, most adaptation shifts pertain to plot alteration, i.e. the only modification sub-type of shift (see 3.4.2.). Table 28 below is repeated from section 4.2.1. for ease of reference:

<table>
<thead>
<tr>
<th>Plot structure</th>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Amplification</td>
<td>Simplification</td>
<td>Alteration</td>
</tr>
<tr>
<td>P.S. I Love You</td>
<td>3</td>
<td>0</td>
<td>17</td>
</tr>
<tr>
<td>The Notebook</td>
<td>10</td>
<td>6</td>
<td>19</td>
</tr>
<tr>
<td>Silver Linings</td>
<td>14</td>
<td>6</td>
<td>26</td>
</tr>
<tr>
<td>Playbook</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Devil Wears</td>
<td>9</td>
<td>0</td>
<td>16</td>
</tr>
<tr>
<td>Prada</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Great Gatsby 1974</td>
<td>6</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>The Great Gatsby 2013</td>
<td>16</td>
<td>0</td>
<td>6</td>
</tr>
<tr>
<td>Total</td>
<td>58</td>
<td>15</td>
<td>85</td>
</tr>
</tbody>
</table>

Table 28: Plot structure shifts across the corpus

Although it may be expected that all film adaptations would present the highest number of Plot structure shifts in the modification type, this does not happen for all the examined films, as can
be seen in the table above. Interestingly, the two film versions of *The Great Gatsby* accommodate considerably fewer plot *alterations* compared to the rest of the films.

In fact, this is the least frequent type of shift in *The Great Gatsby* (Clayton 1974). The fact that the plot is relatively left untouched in these two films may have been influenced by the status of the adapted story. As argued in Chapter 2, adaptation functions in the broader polysystem of a culture. Similarly to translation, the status of the source text in the literary system may have an impact on its translation/adaptation. *The Great Gatsby* is one of the classics of American literature. As a result, the anxiety of paying tribute to the source novel may have influenced the adaptation process. According to Corrigan (2012), the adapter’s liberties are assumed to be limited when it comes to adapting classics. This is especially evident in the 1974 film version which critics often found very close to the letter of Fitzgerald’s novel but otherwise spiritless (Canby 1974; Hudson 1974; kermodeandmayo 2013). In fact, both critics and viewers remark that the adaptation was superficially close to the book’s letter and did not explore its deeper meanings and social nuances (Cocks 1974; Druker 1974; Joey S 2013; Willis T 2012). This agrees with the observations made with respect to Characterisation shifts in the 1974 film version of *The Great Gatsby* (see 4.2.3.). This treatment of the character portrayals can be attributed to the fact that the film’s screenwriter, Francis Ford Coppola, was asked to do merely a quick rewrite of the novel (Zakarin 2013). His script came as a last-minute resort after the initial one by Truman Capote was rejected as it was deemed much too radical for the time. Capote’s script portrayed Nick as a homosexual and Jordan as a lesbian and it also featured many dream sequences and flashbacks (Gathenji 2013). Overall, the final product of Capote’s script involved several “liberties taken and an altogether more daring approach than any studio would have been comfortable with at the time” (Gathenji 2013). Given the general principle of faithfulness Coppola was required to comply with, his only substantial spin was the emphasis placed on Gatsby and Daisy’s relationship; Coppola admits that he had to invent most instances of dialogue between the couple given the nearly total absence thereof in the novel (Zakarin 2013). Therefore, the plot *additions* and plot *amplifications*, i.e. the two most frequent types of shifts in the 1974 film version of *The Great Gatsby*, can be thus explained. This reasoning can also explain the Characterisation *amplifications* observed in Clayton’s adaptation of *The Great Gatsby*, which all the more underlines the interconnections between Plot structure and Characterisation.

Paratext analysis of the examined film adaptations shows that *modulation* (*amplification* and *simplification*) and *mutation* (*additions* and *excisions*) shifts in Plot
structure depend on creative as well as economic reasons. More specifically, the plot aspects chosen to be highlighted often relate to chief characteristics of the genre. According to McDonald (2007: 12), romantic films focus on the couple and on their love story, while their typical formula is “boy meets, loses, regains, girl”. There are cases where this formula presents variations in the films of the corpus. For instance, in *P.S. I Love You*, the ‘boy’ of the story is a hybrid of two male characters, i.e. Gerry and William, and in Luhrmann’s *The Great Gatsby*, the elusive ‘girl’ is not Daisy per se but Gatsby’s dream of her. Nonetheless, in all the adaptations, the romantic core is amplified (as argued in Chapter 4). Furthermore, interviews of adapters reveal that such shifts rely on their creative reinterpretation of the source material. For example, Cassavetes (director of *The Notebook*) sketched the central couple’s dynamics onto his own parents’ relationship (Murray n.d.) and Russell (director of *Silver Linings Playbook*) tapped into his own experience of living with a bipolar son (CineFix 2012).

Apart from creative licence, it is also the economic incentives, and the marketing of the film that have an impact on Plot structure shifts. Film trailers of the examined adaptations indicate that the plot aspects that are foregrounded in the film itself also constitute the preparatory narrative of the trailer. As mentioned in Chapter 3, film trailers often resort to genre conventions in order to frame and direct the audience’s expectations (Gray 2010). Kernan (2004) also remarks that film trailers locate the film within the broader film system thereby connecting it with films of the same genre while distinguishing it as a unique cinematic experience. This is evident in all the analysed trailers (dvdmajestic 2007; Linton 2007; MovieZya 2013; ParamountmoviesDigital 1974; Roadshow Films 2012a; Roadshow Films 2012b; The Trailer Home Podcast 2013; The Weinstein Company 2012; TIFF 2012a). They all promote the features that make the given adaptation stand out from other films of the same genre and from the source novel as well.

In regard to the social reasons that may trigger Plot structure shifts, these may depend on the message that adapters and cast aim to communicate through the film adaptation. Leitch (2008) emphasises the role of the context in which adaptations are situated, while Corrigan (2014) also agrees that adaptations engage in a dialogue with the context, foregrounding issues on a social, cultural and ideological level. These elements can be identified in all the examined film adaptations and in the accompanying paratext.

In *P.S. I Love You*, LaGravenese wished to highlight the grieving process of a widow and the emotional fluctuations she experiences until she feels ready to move on with her life (movieweb 2010). The film’s audience is introduced to Gerry’s death at a point where it is
suggested that the couple will share a long life together. In this way, Gerry’s death is perceived as even more hurtful and unbearable. In fact, according to a film review (Calamari n.d.), the flashback to the couple’s quarrel, which contrasts with Holly’s lonely present, makes the film “surprisingly endearing”, alternating between the sad and the comic thanks to the protagonists’ performances. As this is the opening scene of the film, it can be argued that this is a positive first impression and this in turn can function as positive advertisement and as a sort of mouth-to-mouth film (p)review. Furthermore, by depicting Holly sleep with another man (a plot twist not included in the source novel), the director attempts to remove the taboo elements associated with such behaviour. In fact, in the scenes leading to the action, Holly is nervous and constantly questions her decision. In this way, the adaptation seems to approach the issue from a different angle compared to the book. In the novel, Holly experiences an intense inner conflict about her romantic feelings for Daniel and she does not get involved in a romantic relationship as happens in the film. Adopting such a different approach from the source novel, the adaptation may attract female viewers who have been harshly judged in similar situations; as a result, economic prospects of audience appeal cannot be excluded from the equation either. On the other hand, it may fail to reach viewers who would agree with Holly’s portrayal in the novel. Robledo (2008) points out that the fact that Holly has sex with William seems to be the film’s way to argue that this is “the only fix for the widowed heart”. This remark resembles an (anonymous) book review, according to which Ahern’s novel tackles ineffectively the issues of bereavement and grief (clarelibrary n.d.).

In The Notebook, Cassavetes focuses on the timeless subject-matter of love and wishes to communicate a hopeful message through a cinematic product rife with messages for both female and male viewers (Allen et al. 2004). It is worth noting that, although the overtones of social relevance regarding Alzheimer’s patients are obvious in both the book and the film, the debilitating effect of the disease is somewhat toned down in the adaptation. The source novel provides detailed information on the early symptoms, the doctor’s diagnosis, the couple’s determination to persevere and the man’s agonising efforts to reinstate his wife’s memory. In contrast, this part of the story is omitted from the film and is only included in the deleted scenes which constitute part of the DVD bonus material. This links back to the aspects of the Plot structure that are simplified in the film adaptation (see Table 6 in Chapter 4).

In Silver Linings Playbook, Russell’s primary concern was to remove the stigma of mental illness and show that people suffering from such disorders are no different (TIFF 2012b). The director closely monitors the ways in which Pat perceives his family’s and friends’
‘normal’ behaviours and gives his own unfiltered take on reality. Even those characters who do not have a mental illness of their own find themselves in the difficult position of mediating between people that do. For instance, the mother constantly acts as ‘buffer’ of her son’s and husband’s psychotic behaviours and emotional outbursts (Kabookit 2013). Both the mother and Tiffany frequently act as facilitators of communication. This behaviour on the part of the female characters seems to stem from the director’s admiration for strong women and his effort to underscore their perspective in the story (kermodeandmayo 2012; The Hollywood Reporter 2013d). What is more, characters that have not been diagnosed with a mental disorder manifest hyper-anxiety and irrational behaviour (e.g. Ronnie). This results in a mix of “hilariously unhinged characters” (Schwarzbaum 2012), which nevertheless seems to be Russell’s means for exploring the psychological makeup of these characters and the dynamics created in what may at first glance seem a dysfunctional family (Dargis 2012; TIFF 2012b). Russell’s handling of mental health problems is further commended by another film review (Tobias 2012).

In The Devil Wears Prada, Frankel aimed at foregrounding the struggle of women working in fashion and the cutthroat competition of the industry, without ridiculing the people involved (Finerman, Frankel and McKenna 2006; Merin 2006). It is worth noting that in the novel, the fearsome and merciless Miranda Priestly is easily mapped onto Anna Wintour, the editor-in-chief of the American Vogue (Das 2010), since the author, Lauren Weisberger, based the story on her own experience as a personal assistant to Wintour. Although the film producer and the director wanted to keep the same ‘behind the curtain’ look that existed in the source novel (Ballhaus et al. 2006), they deemed necessary to change its overall tone (so as to also escape the libellous correlation between the cinematic Miranda Priestly and Anna Wintour). According to critics and audiences, the insider’s eye view into the fashion world and the people behind it creates more complex characterisation patterns in the adaptation, which lie in sharp contrast with Andy’s myopic and vindictive perspective in the novel (Scott 2006). The film’s script emphasises the burden of responsibility carried by successful people, and women, in particular (Finerman, Frankel and McKenna 2006). In her treatment of Miranda’s character, Streep tried to portray Miranda as a formidable boss while showing the compromises she makes in her personal life (coconutmilk83 2009a; kyssavsoelen 2013). As Streep points out, Miranda’s demanding behaviour is justified by the responsibility entailed in her post as editor-in-chief and by the fact that she needs to account for the magazine’s success or failure to people in higher positions than hers. Streep mentions a stereotype prevalent in business, according to which “people have a much, much harder time taking a direct command from a woman” (Brockes
2006), which arises from her own experience of working with male and female directors. Similarly to Miranda’s character, who could appeal to working mothers (cf. economic reasons of shifts), Andy seems to reach out to young women who try to establish a career. Andy reflects the experiences of a girl fresh out of university, trying to map out her career path in the hustling New York. According to the main agents involved in the film adaptation (i.e. the film producer, the director, the screenwriter and the costume designer), Andy’s attitude towards her first job, as well as her difficult boss, would ring familiar to many people. In fact, a featurette of the DVD bonus material is entitled “Boss from hell” and includes lay people reporting on their own firsthand experiences of difficult bosses (Frankel, Hathaway and Tucci 2006).

As regards the adaptations of *The Great Gatsby*, contrary to the 1974 film version, which, as noted above, did not delve into the social cues of Gatsby’s story, the 2013 adaptation exposes the characters’ socio-psychological crisis (The Guardian 2013; TributeMovies 2013a). As already noted, the 1974 version presents few Plot structure shifts, with plot *additions* mainly deriving from Coppola’s creative slant. Nevertheless, the fact that the original script by Capote was rejected is rooted in the social norms of the film system of the time, as pointed out earlier. As far as the 2013 adaptation is concerned, Luhrmann points out that he took advantage of the recurring nature of history in order to appeal to viewers (The Guardian 2013; TributeMovies 2013a). In other words, he emphasised the similarities between the Great Depression and the contemporary socio-economic crisis. It is worth noting that the effect Luhrmann aspired to achieve reached a fair portion of the audience. Even though most film reviewers argue that the film adaptation is stylish and dazzling, yet empty in substance (Lebens 2013; Morris 2013; Reinstein 2013), the majority of viewers’ reviews are positive, underlining that the film is rich not only in operatic opulence but in narrative essence and meticulous performances by the entire cast as well (Al S 2012; Apeneck F 2013; Mark R 2013; Spencer S 2013). An overview of the two film-review groups indicates that film critics often castigate Luhrmann’s overly modernising, flashy approach, whereas audience members seem to appreciate the director’s reinterpretation of Fitzgerald’s novel.

In what follows, the discussion focuses on the outstanding patterns of shifts in Narrative techniques. The inter-relations between the most frequent shifts and any types of paratexts are also examined.
5.2. Narrative techniques

With regard to Narrative techniques, most adaptation shifts occur in the *presentation* aspect, both across the corpus and within individual adaptations. Table 29, also included in section 4.2.2., presents an overview of the shifts in Narrative techniques:

<table>
<thead>
<tr>
<th></th>
<th>Temporal sequence</th>
<th>Presentation</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>P.S. I Love You</td>
<td>1</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>The Notebook</td>
<td>9</td>
<td>5</td>
<td>8</td>
</tr>
<tr>
<td>Silver Linings Playbook</td>
<td>2</td>
<td>6</td>
<td>0</td>
</tr>
<tr>
<td>The Devil Wears Prada</td>
<td>2</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>The Great Gatsby 1974</td>
<td>1</td>
<td>6</td>
<td>0</td>
</tr>
<tr>
<td>The Great Gatsby 2013</td>
<td>2</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>Total</td>
<td>17</td>
<td>27</td>
<td>14</td>
</tr>
</tbody>
</table>

Table 29: Narrative techniques shifts across the corpus

In *presentation*, the most noteworthy difference seems to arise between the two film adaptations of *The Great Gatsby* and the rest of the films. As Table 29 illustrates, *P.S. I Love You*, *The Notebook*, *Silver Linings Playbook* and *The Devil Wears Prada* present almost the same number of modulation and modification shifts in *presentation*. In other words, there seems to be a near-equal distribution of events that are transposed by means of narration (modulation) and monstration (modification) in the adaptation. As explained in 3.4.2., it is difficult to distinguish between events that are only told or shown in the film, as the cinematic code includes a degree of monstration by default. Emphasis is placed on events that are verbally narrated (as part of dialogues or voice-over) or visually monstrated in their majority. It needs to be noted that there has not been a distinction between major and minor events; therefore, the quantification of modulation and modification shifts in this category is rather crude.

As pointed out in 3.4.2., the mutation shifts in both the *temporal sequence* and the *presentation* dimension are dependent on mutation shifts in Plot structure. Put differently, events that are *added* or *excised* affect the respective aspects of Narrative techniques.
accordingly. Thus, the high number of plot additions (see Table 28) is reflected on the equally high number of presentation additions and can be interpreted based on the same paratexts as Plot structure shifts.

For example, in *Silver Linings Playbook*, the director David O. Russell used his personal life experiences as creative material for the adaptation. Given that his mother suffered from mental health issues (The Hollywood Reporter 2013d), which were never diagnosed but were often attributed to her energetic personality, Russell was spurred to focus on the perspective of people suffering from mental illness and on the impact this has on those around them (TIFF 2012b). As a result, the addition of scenes demonstrating Pat’s complicated relationship with his father can be seen as stemming from the director’s aim of reflecting multiple nuances of the human psychology (TIFF 2012b), which involves both creative and social motivations, as noted above. In a similar creative and slightly social vein, Frankel (i.e. the director of *The Devil Wears Prada*) has added many instances which show the decision-making process of the fashion industry and its trend-creating nature, while centring on the repercussions that a successful career has on women’s personal lives.

As already mentioned, the two film versions of *The Great Gatsby* can be distinguished from the other films of the corpus due to the remarkable difference in numbers between modulation and modification shifts in the presentation aspect of Narrative techniques (see Table 29 above). More specifically, the 1974 film version of *The Great Gatsby* highlights the visual narrative of the adaptation, muting the verbal narrative capacities of the cinematic code (the film presents 8 modification shifts as opposed to 2 modulation shifts). On the other hand, the most frequent adaptation shift in Narrative techniques is the addition type of mutation in presentation (see Table 29). Clayton wished for the novel to be transposed onto the screen as untouched as possible (kermodeandmayo 2013). However, he allowed Coppola a single carte blanche, which was a rather humanised and personalised depiction of Gatsby and Daisy’s romance (Zakarin 2013). Coppola remarks that he was required to remain faithful to the source material; his only substantial spin was the emphasis on the couple brought upon by the invention of most dialogues between Gatsby and Daisy, which were nearly absent in the novel (Zakarin 2013). The emphasis on Gatsby and Daisy, extended to the real-life actors portraying them, interlaces with Characterisation shifts and echoes economic reasons as well (discussed in detail in 5.3.).

As can be seen in Table 29, Luhrmann’s version of *The Great Gatsby* manipulates the verbal narratives of the cinematic mode to a great extent. Events that are verbally narrated in
the source novel constitute part of the verbal narrative of the film as well. Here, apart from
dialogues and voice-over, songs are also deployed as a verbal narrative device. The lyrics of
the songs capture actual scenes described in the novel or resonate with the narrative’s main
themes at crucial points within the film. The deployment of songs with this function, unique to
*The Great Gatsby* (Luhrmann 2013), is further discussed below.

Music and songs serve as commentary on the action in other film adaptations of the
corpus. Important events of the narrative are signposted by means of appropriate soundtrack.
For example, Prince’s “Gett off” adds to the sensuality of the karaoke scene in *P.S. I Love You*,
while soft piano music underscores the dramatic overtones of the story in *The Notebook*. In
*Silver Linings Playbook*, there is a specific song which triggers Pat’s episodes, i.e. Stevie
Wonder’s “My cherie amour”, and which carries negative connotations, as this was the song
playing when Pat walked in on his ex-wife’s affair. At the same time, another song is associated
with closure and hope; Bob Dylan’s “Girl from the North Country” implies Pat’s loss of interest
in his ex-wife and signals his romantic feelings for Tiffany. In *The Devil Wears Prada*, music
serves as soundtrack to the overall setting of New York. Madonna’s “Vogue” plays as the
setting is introduced and as Andy is having a makeover. An interesting intertextual allusion can
be noted here: the title of Madonna’s song links with the fashion magazine *Vogue*, which has
Anna Wintour as its editor-in-chief. In fact, the magazine gained popularity and recognition
when Madonna’s song was released (songfacts n.d.), which may suggest that this song can
metonymically stand for the world of fashion when used in similar contexts.

As regards *The Great Gatsby*, Fitzgerald’s novel places special emphasis on the jazz
music of the period. Similarly, Clayton’s adaptation is characterised by jazz music and
Charleston dance scenes. Nevertheless, in the 2013 film version of *The Great Gatsby*, the music
mixes jazz and hip-hop/RnB tunes, thus modernising the sound of the narrative and invoking
the modernism of the 1920s (Hamilton 2013; The Guardian 2013; The Hollywood Reporter
2013). When interviewed, Luhrmann appears totally aware of the opprobrium possibly ensuing
from this experiment but defends his choices on the basis of his creative inclination and his
aspiration to adapt the novel for a contemporary audience. Part of such intervention also
consists in incorporating the soundtrack within the film itself (The World of Movies 2013c);
apart from the tracks that accompany and comment on certain scenes, performers embody minor
characters of the novel and simultaneously act and sing out extracts of the book. For example,
Florence Welch of the band *Florence + the Machine* appears within the film as the woman by
the piano (Image 16), described in the novel as follows:
One of the girls in yellow was playing the piano, and beside her stood a tall, red-haired young lady from a famous chorus, engaged in song. She had drunk a quantity of champagne, and during the course of her song she had decided, ineptly, that everything was very, very sad – she was not only singing, she was weeping too.

Fitzgerald 1925: 54

In the film, Welch also sings melancholically, while the lyrics of the song paraphrase the above extract as “I sang by that piano, tore my yellow dress and / Cried and cried and cried” (see Appendix 3 for the song’s complete lyrics):

Image 16: Florence Welch’s cameo as the red-haired singer

This can be viewed as an instance of cinematic metalepsis. According to Genette (1980: 234-235), narrative metalepsis is “[t]he transition from one narrative level to another”, achieved by the transgressive intrusion of “the extradiegetic narrator or narratee into the diegetic universe”. Although Genette (1980) examined this phenomenon in literature, in the adaptation in question, the transgression of narrative levels takes place in the cinematic context. In the example above, the real-life singer functions as a metaleptic device for the director: Luhrmann decided to insert Welch into the fictional world of the narrative and present her as if she was reading parts of the source novel (The World of Movies 2013c). As a result, the boundaries of the diegetic narrative level are broken down by an extradiegetic narrator who is immersed in the diegesis; hence this instance of metalepsis in the film. Progressively, the song acquires a metadiegetic function and a thematic relationship to the diegesis (Genette 1980), as it culminates into an epigram of the story’s theme, with the characteristic line “I can see the green light”. The green light is a salient symbol in the story, as it signifies the flickering light at Daisy’s house, which Gatsby often gazes at from across the bay; the green light can also stand for Gatsby’s “extraordinary gift for hope” (Fitzgerald 1925: 2) and his lifelong ambition to always accomplish more.
This metadiegetic function can extend to the role of social commentary that songs often serve within several scenes of The Great Gatsby. For example, Jay Z’s “100$ Bill” includes lines such as “Stock markets just crash, now I'm just a bill / History don't repeat itself it rhymes, 1929, still” and “Dollars fall on the skin, some might call it sin / Politicians all move for money, what the hell are we callin' them?” (see Appendix 2 for full lyrics). It can be concluded then that the adapter in this case has used all the narrative means at his disposal in order to transpose Fitzgerald’s novel into a cinematic product with vivid *mise-en-scène*, 3D cinematography and contemporary soundtrack; hence the high number of *modulation* shifts and the also important number of *modification* and *addition* shifts in *presentation* (see Table 29).

The following section discusses the Characterisation shifts of the examined film adaptations. This category features the most shifts across the corpus. It is worth noting that most paratexts refer to Characterisation shifts, attributing them to all the above-mentioned reasons, i.e. creative, economic and social.

### 5.3. Characterisation

As can be seen in Table 30 below (repeated here from section 4.2.3. for convenience), the two most frequent Characterisation shifts appear in the *amplification* sub-type of *modulation* and the *dramatization* sub-type of *modification* shifts:

<table>
<thead>
<tr>
<th>Characterisation</th>
<th>Modulation</th>
<th>Modification</th>
<th>Mutation</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>P.S. I Love You</td>
<td>23</td>
<td>1</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>The Notebook</td>
<td>8</td>
<td>9</td>
<td>21</td>
<td>7</td>
</tr>
<tr>
<td>Silver Linings Playbook</td>
<td>13</td>
<td>11</td>
<td>16</td>
<td>0</td>
</tr>
<tr>
<td>The Devil Wears Prada</td>
<td>14</td>
<td>4</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>The Great Gatsby 1974</td>
<td>12</td>
<td>11</td>
<td>10</td>
<td>0</td>
</tr>
<tr>
<td>The Great Gatsby 2013</td>
<td>21</td>
<td>0</td>
<td>13</td>
<td>4</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>91</td>
<td>36</td>
<td>67</td>
<td>17</td>
</tr>
</tbody>
</table>

Table 30: Characterisation shifts across the corpus

Similarly to the observation made with regard to Plot structure, the most frequent type of shift across the corpus is not the highest scoring in each of the films. As Table 30 illustrates, *The Notebook* and *Silver Linings Playbook* *dramatize* their characters more than they *amplify* them. Put differently, in these two adaptations, the phenomenon of characters exhibiting exaggerated
behaviours, such as emotional outbursts and impulsive reactions, is more obvious than that of highlighting certain characters.

This is particularly notable in *The Notebook*, where *dramatization* shifts are almost three times as many as *amplification* shifts. Interviews with the cast and the director shed light on such Characterisation shifts in all the examined film adaptations and they may be particularly insightful regarding *The Notebook*. The director, Nick Cassavetes, wanted the actors to display a wide range of emotions, even reaching extremes at times, so that their acting could transcribe verisimilitude and authenticity onto the big screen (Cassavetes *et al.* 2004). Similarly to *P.S. I Love You*, where LaGravenese wanted to uncover Swank’s acting talents, Cassavetes casted Gosling (Noah, the male protagonist) because he had previously played mainly dark and emotionally distant characters (jeilin26 2013). Cassavetes strongly believed that the fact that audiences were not accustomed to Gosling portraying a romantic lead would enhance the credibility of his acting, which would thus ring authentic to viewers. In addition, McAdams (Allie, the female protagonist) remarks that Cassavetes encouraged her to be overly expressive in a scene where she had to slap Gosling. This may also arise from the fact that, in her audition, McAdams elicited the emotions required for the scene without the director’s ‘coaching’ (Cassavetes *et al.* 2004). In addition, Cassavetes was allowed various liberties by the production team because of his artistic legacy and heritage.\(^{17}\) Being an actor himself, Cassavetes acted the scenes out so that the actors could see what he wanted from them (ScreenSlam 2013), while he closely observed the film-shooting without using a monitor (Allen *et al.* 2004). Moreover, most of the cast describe Cassavetes as highly enthusiastic, energetic and vocal (Allen *et al.* 2004). As a result, the instances of character *dramatization* could be seen as reflecting Cassavetes’ stance on acting as well as his personal characteristics. However, certain film reviews acutely criticise the “sugary clichés” (Taylor n.d.) and a sense of “saccharine melodrama” (Cohn 2004) that seem to prevail in the film due to the director’s tendency to overstretch the touching elements of the novel. Contradictory to this impression are positive reviews by critics and viewers alike as regards the cast’s realistic performances (BradySmith 2013; Lumenick n.d.; Puig 2004; Thomson 2004).

Apart from the creative motivation behind Characterisation shifts, economic incentives need also be considered. According to McDonald (2007), the successful quest for love and the focus on the couple are constitutive of the romantic comedy genre. In the case of *The Notebook*, both of these characteristics were used as audience lure in the marketing of the film: the film

\(^{17}\) Nick Cassavetes is the son of the director John Cassavetes and actress Gena Rowlands (Allen *et al.* 2004).
trailer (dvdmajestic 2007) is interspersed with snapshots from the beginning, the development and the obstacles of the young romance. What is more, interviews of the director and the producer highlight the chemistry between Gosling and McAdams (Cassavetes et al. 2004). Gosling and McAdams were a couple in real life from 2005 until 2007 (IMDb1 n.d.), thus creating an extratextual connection between the fictional personae and the real-life actors. As a result, viewers could identify with them and possibly idolise them as the epitome of a great love, as indicated by many viewers’ film reviews (bronteh 2004; filmnoir500 2005; punk_rawk_princez 2005). It is worth noting that the film won the Teen Choice Date Movie award (now called Teen Choice Romance Movie) (IMDb2 n.d.). This suggests that casting the spotlight onto the young couple managed to capture the interest of a similarly young audience, who awarded The Notebook as the best romance film of 2005. What is more, Gosling and McAdams appear as the faces of The Notebook, as the DVD cover features them in one of the most characteristic scenes of the film:

Image 17: The DVD cover of The Notebook

A similar personification pattern can be observed in the DVD covers of all the examined adaptations, with the near-exception of The Devil Wears Prada which features smaller pictures of the cast in a less central position on the DVD cover (see Appendix 4 for all the DVD and book covers).

By contrast, the book covers avoid personifying the love story. This is the case with The Notebook, the book cover of which focuses on the house that Noah restores in an effort to atone for his lost love:
The focus in the novel lies once more on the couple’s reunion. A newspaper article about Noah’s restored house serves as pretext for Allie to visit Noah 14 years after they have broken up. By avoiding putting a specific face on the book cover, the narrative acquires universal dimensions and readers are free to assign their own images to the characters – one of the main differences between literature and cinema (Hutcheon 2013). In an interview included in the DVD bonus material, the author Nicholas Sparks stresses that love is a universal feeling and people want to read his books because they want to read about things that may happen in their own lives (Sparks 2004).

Although 11 out of 19 of Sparks’ novels have been adapted into films, *The Notebook* had made the highest profit as a film adaptation at the time of corpus selection (Duplisea 2013). The film may have still boosted its profit ten years after its release. An interview of the director, published on the 10th anniversary of the film, carried the juicy headline “Ryan Gosling wanted to kick Rachel McAdams off *The Notebook* set” (Cassavetes 2014). There, the director admits that, at some point, Gosling wanted Allie’s role to be recast. Although the director managed to have the two actors vent out their feelings against each other and the filming proceeded relatively more smoothly, it can be argued that the exaggerated behaviours in the film may have indeed reflected the actors’ genuine feelings for each other.

As noted above, *Silver Linings Playbook* is the second film adaptation that presents different Characterisation patterns from the rest of the corpus. As Table 30 illustrates, the number of *dramatization* shifts is slightly higher than *amplification* shifts. This happens in only
two films of the corpus, i.e. Silver Linings Playbook and the 1974 film version of The Great Gatsby. Nevertheless, the reasoning seems to be different in the two cases. The Characterisation shifts in The Great Gatsby (Clayton 1974) emerge from an effort to emphasise an aspect of the narrative that would keep the original story untouched (Zakarin 2013) and yet would attract audiences interested in a love story captured by two increasingly popular actors of the time, i.e. Robert Redford and Mia Farrow (People 1974).

On the other hand, one of the main marketing tropes of Silver Linings Playbook was the accumulation of peculiar characters, apparent in both film trailers used for the promotion of the film (The Weinstein Company 2012; TIFF 2012a). This was the distinctive characteristic which made the adaptation stand out from other films of the romantic comedy genre (The Film Programme 2012). The film’s singularities have been positively received and approved of by both critics and viewers (metacritic 2012; rottentomatoes 2012). Many reviewers have singled out the director’s topsy-turvy approach to the romantic comedy genre (Dargis 2012; Travers 2012) and the actors’ handling of the character portrayals (The Film Programme 2012). In fact, the film won the BAFTA Award for Best Adapted Screenplay and the Academy Award for Best Motion Picture of the Year, while the cast won or was nominated for quite a number of awards (IMDb2 n.d.). Notably, there is no reference to Quick’s novel in either trailer. Here, the adaptation is promoted as the director’s work where he transcribes many autobiographical details; in fact, Silver Linings Playbook is the adaptation with the most plot alteration shifts (see Table 28). As Quick admits in an interview (Pomerantz 2012), the director did not consult him at all during the adaptation process, while many characters were adjusted to the actual actors portraying them. For example, the amplification of the father’s role, with the additional shift of his suffering from obsessive compulsive disorder, was tailored to De Niro’s acting style (Allen 2013). Moreover, the film features a scene where Pat’s father sits by Pat’s bed and strokes him at the cheek while welling up as he admits that he used to neglect Pat when he was younger (01:12:43). As Russell revealed in an interview, this scene was never scripted originally; on the contrary, it stemmed from the actors’ improvisation at the moment as well as from the close relationship Cooper and De Niro had developed through previous collaborations (Kabookit 2013; The Hollywood Reporter 2013c). It can then be argued that tweaking the character portrayals to some extent links with the occurring Plot structure shifts. In Silver Linings Playbook, the focus lies on the interpersonal dynamics between “authentic characters” (ABC News 2012) and the ‘quirky’ humour that arises from the interaction of such eccentric people. At the same time, given the adapter’s inclination to portray facets of the human
psychology (TIFF 2012b), most of the depicted characters can be seen as psychologically tormented in varying degrees; for example, Pat’s father suffers from obsessive compulsive disorder and Ronnie (i.e. Pat’s best friend) experiences immense stress and pressure to prove financially accountable to his family against the socio-economic backdrop of the recession.

As regards the rest of the examined film adaptations, paratext analysis indicates that the Characterisation shifts usually derive from the cast’s and the director’s creative reinterpretation of the novelistic character portrayals, which are nonetheless interpreted with an economic incentive in mind. More specifically, in P.S. I Love You, LaGravenese wished to allow Butler and Swank (i.e. the two protagonists) enough space so as to showcase aspects of their acting gamut not displayed until then (ShowbizJunkies 2013a). According to two film reviews (Holleran n.d.; Schwarzbaum 2007), the actors’ performances are a merit to the film and root it in reality, showing that grief is unique to the person experiencing it. LaGravenese had worked with Swank in the drama Freedom Writers (LaGravenese 2007), which was released in the same year as P.S. I Love You. LaGravenese and Swank’s collaboration in the romantic comedy involved a swift change in genre which could put Swank’s performing abilities to the test and, thus, attract the audience’s attention. It is worth noting that Swank had made quite an impression in Million Dollar Baby (Eastwood 2004). Her athletic looks and physique have been documented in fitness-related websites (celebrityfitnesstraining n.d.) and in popular-culture newspaper columns (Watkins and Thompson 2011). This may have been another reason why Swank’s sculpted figure is flaunted in the film and her character is thereby sensualised (see 4.2.3.). Arguably, scenes featuring Swank semi-naked would create a male gaze, in an effort to possibly counterbalance the female audience whom the film mainly addresses. Moreover, a similar combination of creative and economic reasons can be traced in the amplification of Gerry’s character. This role came as a different acting opportunity for Gerard Butler, given that his previous appearance in 300 (Snyder 2006) was much more hard-bitten. Similarly to Swank, Butler had also managed to display a sturdy and well-toned physique in his previous role (Moviefone 2012), which may have been deployed as hook for the female audience. On the other hand, Holly’s dramatized behaviour can be seen as reflecting the director’s social concerns about expressing one’s grief after a beloved one’s death (Wright 2007).

In The Devil Wears Prada, the Characterisation shifts – especially of the amplification sub-type – can be linked to the involvement of the members of the cast. Hathaway brought along her experiences and her personality traits into moulding Andy as a more dynamic character in the adaptation (chuckthemovieguy 2006; coconutmilk83 2009b; Hollywood
Archive 2014). Moreover, similarly to *The Great Gatsby* (Clayton 1974), the resounding names of the cast are highlighted in the film trailer (MovieZya 2013), thus establishing the artistic value of the film and appealing to viewers accordingly. Meryl Streep and the fame surrounding her name were thought to be chief marketing hooks, as pointed out by the director (Frankel 2012) and many reviewers (metacritic 2006). Furthermore, Streep’s artistic signature licenced a strikingly different portrayal of Miranda and this difference was highlighted and reinforced in interviews of the cast and the director (coconutmilk83 2009a; Mimi B 2008; The Meryl Streep Forum 2010). Notably, many film reviews acclaimed Streep’s performance as the core of the story (Bradshaw 2006; Gonsalves 2007; Goodsell 2012). Not only does this strengthen the interplay with Plot structure shifts, but it also distinguishes the adaptation from the source novel, thus sparing it from the criticism hurled against the book.

In *The Great Gatsby* (Luhrmann 2013), the Characterisation shifts (of the *dramatization* sub-type of *amplification*, in particular) seem to intertwine with the Narrative techniques shifts, given that the deeply internal structure of Fitzgerald’s novel inspired Luhrmann to translate the characters’ tragedy in cinematic terms (The World of Movies 2013b). Luhrmann’s distinctive directing style is confirmed in many interviews of the cast (RedCarpetNews Extra 2013; TributeMovies 2013b; TributeMovies 2013c). Even when reviews condemn Luhrmann’s 3D use in *The Great Gatsby* (Denby 2013; French 2013), these and others much more positive (Collin 2013; Giardina 2014; Scott 2013) argue that, when confetti and fireworks recede, the cast’s talented performances shine through. In addition, Nick’s narratorial status at a considerable socio-temporal distance from the narrated events did not aim merely at facilitating the audience’s connection with the narrative; it also encapsulated the director’s vision of a Nick who has lived on both sides of an affluent and glittering age, only to be afflicted by its intoxicating mores and report on the devastation left behind (TributeMovies 2013d). Nick’s relationship with Gatsby is also under the spotlight and competes in importance with the relationship between Gatsby and Daisy. This becomes even more crucial after Gatsby’s death, when masks have fallen off and only Nick cares about Gatsby. In fact, Luhrmann admits that he had to omit the appearance of Gatsby’s father (Plot structure shift) because this would shift attention away from Nick’s devotion to Gatsby (Luhrmann 2013). The director explains that he wanted to keep the elements which he deemed relevant to his own interpretation of what the focus of the story was, i.e. Nick’s loyalty and Gatsby’s misunderstood naiveté.
In what follows, the discussion centres on the Setting shifts. Although this is the category with the fewest shifts across the corpus, some of them seem to directly relate to social reasons, as will be argued.

5.4. Setting

Contrary to Narrative techniques, where one aspect (i.e. presentation) presented considerably more shifts than the other (i.e. temporal sequence), in Setting, both the temporal and the spatial dimensions feature almost the same number of shifts (i.e. 41 and 43 shifts respectively). Table 31 below is repeated from section 4.2.4. for ease of reference:

<table>
<thead>
<tr>
<th></th>
<th>Temporal</th>
<th></th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>P.S. I Love You</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>The Notebook</td>
<td>8</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Silver Linings</td>
<td>5</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Silver Linings</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Silver Linings</td>
<td>10</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Silver Linings</td>
<td>8</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td>31</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

Table 31: Setting shifts across the corpus

As Table 31 illustrates, the film adaptation with the most Setting shifts is Luhrmann’s version of The Great Gatsby. Nonetheless, both adaptations of the classic novel accommodate a high number of Setting shifts (compared to the rest of the examined films), thus obtaining the lead in this category. The Notebook comes third with 17 Setting shifts. In these film adaptations, the story (or part of it) takes place in a period different from the contemporary one, which may explain why they (with the exception of Luhrmann’s The Great Gatsby) present more shifts in temporal rather than spatial Setting.
The meticulousness with which the recreation of the setting was tended to in both film versions of *The Great Gatsby* is obvious in the paratext of these adaptations. One of the main considerations for the 1974 film adaptation of *The Great Gatsby* was transferring the atmosphere of the Roaring Twenties from the book onto the set (Gathenji 2013). For this reason, the production team collaborated closely with Ralph Lauren for the costumes design and they travelled to Rhode Island, where the authenticity of the Jazz Age was still preserved (Gathenji 2013). Such attention to detail is obvious in scenes of Gatsby’s glamorous parties, where the abundance of extras and close-ups on dance moves confirm the expensive and well-crafted film production. Clayton’s version was acclaimed for its period characteristics and won the Academy Award for Best Costume Design (IMDb3 n.d.), while the 2013 adaptation was similarly awarded with an Oscar in Best Achievement in Costume Design (IMDb4 n.d.).

As regards the 1974 film version, a counter-programming strategy was adopted in its release; *The Exorcist* (Friedkin 1973) had been released a few months before *The Great Gatsby*. The horror film obviously differed in many respects, most notably in the unprecedented impact of agony and shock on the audience. The two films were thought to be the two outstanding films of the year (People 1974). A considerable change in artistic standards is worth noting. Even though *The Exorcist* is now regarded as a horror masterpiece, according to Fitzgerald’s daughter, her father would have found *The Exorcist* appalling. Scottie Fitzgerald hoped that the film adaptation of her father’s novel could initiate a return towards the classics and away from sex and violence, which presumably prevailed as cinematic values at the time (People 1974). This can be considered as an economic incentive inspiring certain Setting shifts, given that the targeted audience numbers were in competition with those of *The Exorcist*. The adapter’s creative reinterpretation of the extravaganza of the period need also be considered as a potential reason for the Setting shifts.

A similar observation can be made in regard to Luhrmann’s *The Great Gatsby* and his own recreation of the setting, both in its temporal and in its spatial dimension. Given Luhrmann’s operatic directing style, clearly imprinted in *Romeo + Juliet* (Luhrmann 1996) and *Moulin Rouge!* (Luhrmann 2001), the 3D shooting mode and the hip-hop touches to the film’s soundtrack resulted in quite a number of Setting shifts in *The Great Gatsby*; hence the film’s first place in this category. According to Luhrmann, 3D is as revolutionary for the 21st-century film industry as Fitzgerald’s writing style was for his era; similarly, the music used in the film corresponds to the impression made by Charleston and jazz in the 1920s (Hamilton 2013; The Guardian 2013; The Hollywood Reporter 2013a). Besides Luhrmann’s exuberant interaction
with the film-making aspect of the adaptation, there was extensive and painstaking research in the depicted period (similarly to the 1974 film version). More specifically, the production team went to great lengths in order to recreate genuine character portrayals for Gatsby’s guests. According to the film’s costume designer and producer, they looked into a section of _Vanity Fair_ so as to ground the guests onto both the time’s real celebrities and the novel’s fictive personae (The World of Movies 2013d). Moreover, they collaborated with the jewellery retailer Tiffany & Co. in order to design the film’s jewellery relying on the company’s record of their correspondence with Fitzgerald. A similarly diligent approach was adopted for the recreation of the locations and the costumes; the novel’s descriptions served as a guide that was then combined with an in-depth research into the era’s dress code and architecture (The Hollywood Reporter 2013b; The World of Movies 2013b; The World of Movies 2013e).

Archival information was also employed for character portrayal. As Carey Mulligan (i.e. Daisy) admits in one of her interviews, the letters between Fitzgerald and Ginevra King were one of the main resources that the cast resorted to for characterisation purposes (TributeMovies 2013b; RedCarpetNews Extra 2013). Ginevra King was Fitzgerald’s platonic love with whom he maintained frequent correspondence (Smith 2003; Stevens 2003). She was the author’s own unfulfilled dream, as their romance could not survive due to their social clash. King was the source of inspiration for many female characters in Fitzgerald’s fiction, among which was Daisy as well (Stevens 2003). What is more, Nick exhibits many biographical similarities to F. Scott Fitzgerald, who also suffered from alcoholism (Scaysbrook n.d.). In fact, Nick’s doctor advises him to write down Gatsby’s story as a form of therapy so as to relieve him from insomnia. Therefore, Nick assumes the role of the story’s author (i.e. Fitzgerald), while a scene towards the end of the film shows Nick typing off the novel’s title page, thus consummating the conflation between the two authorial personae. Words from the novel frequently appear on screen, spoken/read out loud by Nick in voiceover; these set the tone of scenes or gloss certain events. This can be regarded as another instance of _metalepsis_ on a metadiegetic level (Genette 1980). Here, we do not have a transgression into the fictional story by an extradiegetic narrator; rather, the hybrid narrator (derived from the fusion between Nick and Fitzgerald) exits slightly the diegetic world and is employed as a device by the film’s author (i.e. Luhrmann) so as to comment on the diegesis through the book extracts he reads. Throughout the film, Nick serves as an omniscient homodiegetic narrator, who narrates events in which he is involved but who additionally interprets other characters’ actions and behaviours (in a similar way to the novel’s Nick). The impact of events is gauged against their effect on
Nick’s mental state; his doctor’s questions help him interpret the events that have transpired, which in turn serves the audience’s understanding (cf. Vanoye’s (1985) horizontal and vertical levels of film dialogue function).

Setting was one of the aspects promoted in one of the three film trailers used for the promotion of the Luhrmann’s adaptation (Roadshow Films 2012a), while the deployment of finely edited sequences and the modern soundtrack served as curiosity arouser for prospective audiences. The number of trailers and the marketing of the adaptation indicate the economic interest underlying the adaptation shifts, including those in Setting. It needs to be noted that the film was first released in the United States and then it was chosen to open the Cannes Film Festival, after which it was released in the UK (The Film Programme 2013). Therefore, it is clear that interest in the film was gradually and masterfully built, whetting the appetite of prospective viewers with several pre-tasting bites.

Moreover, a social motivation is evident behind Setting shifts. The introduction of the framing device of Nick in a sanatorium in 1929, after the glamour and extravaganza of the ‘20s have faded, and in the eve of the Great Depression, resonates with the contemporary socio-economic circumstances, thus making the adaptation relevant to the audience (RedCarpetNews Extra 2013; The Guardian 2013; TributeMovies 2013a). The topicality of Gatsby’s miraculous rise and precipitous fall is reflected in articles dated closely after the film’s release. These articles use the novel’s theme as a metaphor for the recurring historical upheaval (Geoghegan 2011; Gray 2013). Apart from a comparison between the 1974 and the 2013 film version that is subtly suggested in the articles, the more obvious comparison is between bank customers withdrawing their savings in the United States in 1929 and the same scene occurring in Cyprus in 2013 (Gray 2013). This also echoes with the long queues outside banks after the recent instalment of capital controls in Greece (Ward 2015). As a result, Nick’s deployment as a narrative device in 1929, soon before the Great Depression and in such a place of psychological decadence as is the sanatorium, evokes similarities with the contemporary status quo.

Additionally, Gatsby’s obsession with pursuing the unattainable and remaining stuck to the past is eloquently represented in his monologues as well as in his explosion in a confrontation scene with Tom. As DiCaprio explains (The Guardian 2013), Gatsby is empty inside because all that ever motivated him to grow wealthy and powerful turned out to be an illusion; thus, his feeble foundation is a façade concealing his own insecurity and sense of inferiority against both Tom and Daisy. The socio-psychological crisis that torments all characters has been noted by several newspaper articles as well, which refer to The Great
Laterally before commenting on the modern-day recession (Churchwell 2012; Geoghegan 2011; Gray 2013; Theodoropoulos 2013). Luhrmann also points out that many images of wealth, fashion and extravaganzas that first appeared during the Roaring Twenties re-emerged before the recent crisis. The director explains that overblowing Gatsby’s parties with loud music, frantic dance and gaudy costumes – as he was often accused of having done in relevant reviews – was his way of putting across Gatsby’s own flamboyance, so that the utter deflation that ensues comes across as equally dramatic (Hamilton 2013).

As regards The Notebook, a counter-programming strategy, similar to the release of The Great Gatsby (Clayton 1974), was employed in this case, too. The Notebook was released in the summer, amidst an array of films which demonstrated an abundance of special effects and action-packed scenes, shifting attention from storytelling to spectacle. According to the film producer, this was a conscious marketing decision so as to address viewers who would be “tired of seeing certain really effects-laden movies” and opt for one that revolves around personal relationships and emotions (Johnson 2004b). Furthermore, the film was promoted with the intention to attract both female and male viewers, which was achieved during the test-viewing of the film, where positive feedback was provided by both genders (Johnson 2004b). Part of this packaging may have been the emphasis on the period style of the film (resulting in the observed Setting shifts), in an effort to appeal to viewers interested in period films. As mentioned in 4.2.4., the framed narrative starts in 1940, which is a distinctive historical and social period in the collective memory. Emphasising the period feel and mood through the mise-en-scène could have captured the attention of viewers intrigued by bygone eras and the associated etiquette. As the producer underlines, faithfully recreating the past required extreme attention in terms of wardrobe, hairstyles, ways of talking and even walking (DeLapp et al. 2004). Provided that these conditions are satisfied, the viewer is immersed in the film and transported to another world, which is further enhanced by the power of the image (DeLapp et al. 2004). Therefore, the shifts in Setting can be accounted for from an economic as well as a creative angle. Nevertheless, the social overtones of the depicted setting are also evident in the adaptation. The director decided to change the spatial Setting from North to South Carolina in order to set the story in a place which would match the temperament of the young romance and which would assign a distinctive tone to the adaptation as a whole (Allen et al. 2004). The relocation may also link with the conservative ideology of the region, given that South Carolina

---

18 Overall, male viewers, albeit not fans of the genre, admit that The Notebook features all the – cliché – elements to qualify as an honest and decent instance of a tear-jerker (Jason R 2010; Red L 2007; Shawn Watson 2005; Thegodfatherson 2013).
opposed to women’s right to vote in 1919 (Fordham University n.d.). In fact, the preoccupation with social status and the oppression to which women were often subjected are usually foregrounded by means of the social norms of the place and the time.

With regard to the Setting shifts in the remaining film adaptations, these seem to be inspired by a combination of reasons similar to those mentioned above. In *P.S. I Love You*, the relocation from Ireland to New York may have been motivated by an effort to mainstream the narrative. An American production could feature a cast of well-known actors who in turn would entice a wider audience and, therefore, increase the film’s box-office. Moreover, according to Halsey, Stuart & Co. (1985: 200), most films are produced in New York and, as a result, New York plays a key role in world motion picture production. As Wayne (2002: 38) argues, the American domination in world film markets implies an ideological implication as well; films and other forms of American cultural production can act “as a means by which to sell all kinds of American products and ideals” (Wayne 2002: 38). The adaptation of *P.S. I Love You* is set not only in the heart of the United States but in a place which represents the world cinema. As a result, the ‘Americanisation’ involved in *P.S. I Love You* may stem from a combination of economic, creative and social reasons. By means of this shift in the setting, everything that happens in the novel, and is in turn adapted onto the big screen, acquires equally greater dimensions: the audience to whom the film is directed is potentially broader and Holly’s experiences could appear relatively more universal. At the same time, the American hustle and bustle is juxtaposed to the greenness and serenity of the Irish landscape. Ireland seems to carry a symbolic value in the film: it is the place where Holly meets Gerry, while on a college trip, and William, while on holidays following Gerry’s ‘instructions’.19 The author of the novel, Ahern, was not involved in the adaptation process but was happy with the way in which the Irish landscape was represented in the film (Ahern 2007; ShowbizJunkies 2013b). Ireland appears as an exotic and romantic destination connoted with positive memories and with the opportunity to make a new start. Put differently, Ireland encompasses the romanticised freedom that is often associated with travel (Dann 1996) and is, thus, put forward as the exciting and adventurous ‘foreign’ opposite to New York’s monotony. As a result, certain stereotypes appear to be promoted through this alteration of spatial Setting. One of these seems to be the representation of Irish people as care-free and always singing (00:04:49). Furthermore, a joke highlighting Irish people’s perception of Americans as “exotic” (01:02:31) comes across as a

---

19 In one of his letters, Gerry directs Holly to a travel agency, where it is revealed that he had made all the necessary arrangements before his death to send Holly and her friends on a trip to Ireland.
humorous comment on the differences separating Americans from Irish people. By approaching these stereotypes from a comic angle, the film subtly makes use of widely held assumptions but at the same time safeguards itself from any accusation of endorsing them. In this way, the film reaches out to viewers who may agree with these stereotypes as well as those who may think otherwise; since the film does not openly endorse these stereotypes, neither need feel offended. This is another case where social and economic reasons intermingle in adaptation shifts.

In *Silver Linings Playbook*, it can be argued that the *amplification* of the *temporal* Setting is reflected on the character portrayals. Put differently, in the four years intervening between the book’s publication (i.e. 2008) and the film’s release (i.e. 2012), the economic events that have transpired seem to have an impact on the representation of the characters. For instance, in the film, Ronnie (i.e. Pat’s friend) is overly concerned about his work and finances. Although he is quite well-off, he experiences a constant angst to make more money and prove accountable to his family and colleagues. Notably, Ronnie remarks that he is satisfied with his life despite the stress and the pressure and that others are heavily afflicted by the repercussions of the financial status quo. As noted in 4.2.4., Ronnie’s agony for his finances can be linked with the economic crisis that broke out in 2008. As far as the *spatial* Setting is concerned, the adaptation seems to keep this aspect as highlighted as it is in the source novel. Given the continuous references to the Eagles and the vital role the Eagles play in Pat’s bonding with his family, both the book and the film emphasise the place in which the story unfolds. Furthermore, as mentioned in 4.2.4., Bradley Cooper (i.e. Pat) modified his accent and way of speaking in order to approximate the Philadelphian accent (DP/30: The Oral History Of Hollywood 2012).

In *The Devil Wears Prada*, both the wider setting of New York and the narrower setting of the fashion industry play an important part in the overall construction of the narrative. The film producer and the director aimed to detach the film adaptation from the notion that the cinematic Miranda Priestly was an incarnation of Anna Wintour (Finerman, Frankel and McKenna 2006). Instead, they focused on the people involved in the fashion world, often sneered over in the book (Finerman, Frankel and McKenna 2006). The *amplification* of the Setting was also enhanced by the fact that the decisions on the cast’s clothes were made by the costume designer Patricia Field, also involved in the TV series *Sex and the City* (1998-2004), where she had previously collaborated with the director David Frankel. The series has frequently made the (fashion) news for the stylistic statements of its cast (elle n.d.; Kushner n.d.; Pearl n.d.). Given the crucial role of fashion in the story of *The Devil Wears Prada*, special attention was reserved for the designers behind the clothes, as these were thought to be
signature-bearing for the character construal (Blunt et al. 2006). In other words, designers’
clothes were selected according to the character portrayals used to dress. At first, many
designers were reluctant to have their names associated with the film, probably because the
source novel lambasted Wintour (Finerman, Frankel and Valentino 2006). Valentino was the
only designer that made a cameo in the film; this functioned as a stamp of approval and
encouraged other famous designers to finally agree to have their clothes appear in the film
(Finerman, Frankel and Valentino 2006). Although the above-mentioned shifts may have
derived from the director’s and screenwriter’s re-interpretative take on the source novel, the
economic incentives need still be considered: ensuring famous brands of designer clothes and
accessories as product placement in the film led to its endorsement by sponsors (Field et al.
2006), which would ultimately prove commercially profitable at the box office.

A closer look into the Setting shifts and the paratext commenting upon them underscores
once again the multidimensional workings of the adaptation process. The reasons spurring the
adaptation shifts can range from the economic incentive at the core of a film production, to the
creative nature of the film-making process and to the social outreach potentially carried in a
cinematic product of a specific socio-temporal context.

Furthermore, the discussion in this chapter showed that all shifts can be explained from
different perspectives. As a result, there cannot be a one-to-one relationship between shifts and
reasons. In other words, the descriptive categories cannot be matched with a specific
interpretive category. For example, although Setting shifts can be primarily motivated by social
reasons, creative and economic considerations cannot be excluded either. More importantly,
the fact that shifts and reasons intertwine strengthens the inter-relations between the categories
of shifts themselves. Therefore, the rationale behind certain shifts may be essentially motivated
by shifts in other, related categories, as happens, for instance, for shifts in Plot structure and
Characterisation. Chapter 6 elaborates on the findings analysed in this chapter and examines to
what extent the Research Questions of this project have been answered.
6. Discussion

Following the analysis of an indicative corpus of film adaptations and an overview of the resulting shift patterns in Chapters 4 and 5, this chapter revisits the three Research Questions (RQs) posed in Chapter 3:

1. What are the changes that occur in the adaptation process of a romance novel?
2. How can these changes be systematically explained?
3. What theoretical tools can Translation Studies provide so as to analyse these changes?

These questions are rooted in the versatile concept of ‘translation’, evidenced in research which has looked into various forms of meaning transposition, from a textual to a sociocultural perspective. As a result, the interdisciplinary nature of Translation Studies has been strengthened and contemporary translation theory has encompassed insights from research areas such as politics, historiography and cultural studies. Translation Studies has often been put forward as a field that can foster fruitful synergies with Adaptation Studies (Aragay 2005; Cattrysse 1992; Milton 2009; Venuti 2007), especially given the advancement of Audiovisual Translation from the (late) 1980s onwards. Approaching these synergies from the perspective of Adaptation Studies, it can be argued that translation theory can enable a systematisation of the adaptation process with an eye to exploring the ways in which narratives travel across medial, cultural and linguistic boundaries. In what follows, attention is shifted onto whether this issue has been adequately investigated in the context of this project and to what extent the above-mentioned RQs have been answered.

More specifically, section 6.1. reviews the adaptation shifts observed in the corpus (RQ1) and examines them against the theoretical background expounded in Chapter 2. Section 6.2. explores the extent to which it has been possible to explain those shifts systematically (RQ2) and interprets the intertwined rationales in the broader context of creative industries. In 6.3., the focus lies on RQ3, which also allows for an evaluation of the model developed in this project against the purpose of its design.

6.1. Fleshing out the links between the identified adaptation shifts

As explained in Chapter 3, the categories used to classify the observed adaptation shifts were derived from conjoined insights in Adaptation Studies and Narratology (cf. Chatman 1990; Herman 2004). These descriptive categories are namely Plot structure, Narrative techniques, Characterisation and Setting. These are narrative aspects which can be found in literary and cinematic narratives alike. This also suggests that the model has potential for application to
adaptations beyond those included in this corpus, given that plot, in its double chrono-logic, characters and setting are the cornerstones of storytelling (Chatman 1990; Herman 2004).

Each of the four descriptive categories (Plot structure, Narrative techniques, Characterisation and Setting) accommodates certain types of adaptation shifts. These types were classified based on van Leuven-Zwart’s (1989) model of translation shifts and were similarly labelled modulation, modification and mutation. In general, in the above categories, modulation involves a shift of emphasis, and information is thus foregrounded or backgrounded in the adaptation, whereas modification involves a more ‘radical’ type of change. Mutation entails a kind of addition or omission. Although additions and omissions can indeed be considered as changes, and radical at that, mutation as used in the model implies that the examined elements are absent altogether from either the book or the film. In contrast, modification is observed when an element appears in both media but undergoes highly noticeable changes in the adaptation. These categories and types of shifts constitute the descriptive/comparative component of the model developed in this project, which aims at a systematic analysis of adaptation shifts at an initial stage, before proceeding to an interpretation thereof. Mapping the shift types onto the descriptive categories results in the following configurations:

<table>
<thead>
<tr>
<th>Descriptive categories</th>
<th>Plot structure</th>
<th>Narrative techniques</th>
<th>Characterisation</th>
<th>Setting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Shift types</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Temporal</td>
<td>Presentation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>sequence</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Modulation</td>
<td>Amplif.</td>
<td>Duration</td>
<td>Narration→Narration</td>
<td>Amplification Simplification</td>
</tr>
<tr>
<td></td>
<td>Simplif.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Modification</td>
<td>Alteration</td>
<td>Order</td>
<td>Narration→Monstration</td>
<td>Dramatization Objectification Sensualisation</td>
</tr>
<tr>
<td></td>
<td>Addition</td>
<td>Addition</td>
<td>Addition</td>
<td>Addition</td>
</tr>
<tr>
<td></td>
<td>Excision</td>
<td>Excision</td>
<td>Excision</td>
<td>Excision</td>
</tr>
</tbody>
</table>

Table 32: Overview of descriptive categories and shift types
The data analysis gave rise to the following numerical distribution of shifts per category; Table 3 from Chapter 4 is repeated here for ease of reference:

<table>
<thead>
<tr>
<th></th>
<th>Plot structure</th>
<th>Narrative techniques</th>
<th>Characterisation</th>
<th>Setting</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>P.S. I Love You</td>
<td>28</td>
<td>26</td>
<td>40</td>
<td>6</td>
<td>100</td>
</tr>
<tr>
<td>The Notebook</td>
<td>51</td>
<td>50</td>
<td>48</td>
<td>17</td>
<td>166</td>
</tr>
<tr>
<td>Silver Linings Playbook</td>
<td>53</td>
<td>29</td>
<td>43</td>
<td>10</td>
<td>135</td>
</tr>
<tr>
<td>The Devil Wears Prada</td>
<td>32</td>
<td>18</td>
<td>27</td>
<td>7</td>
<td>84</td>
</tr>
<tr>
<td>The Great Gatsby 1974</td>
<td>25</td>
<td>36</td>
<td>38</td>
<td>21</td>
<td>120</td>
</tr>
<tr>
<td>The Great Gatsby 2013</td>
<td>30</td>
<td>49</td>
<td>41</td>
<td>24</td>
<td>144</td>
</tr>
<tr>
<td>Total</td>
<td>219</td>
<td>208</td>
<td>237</td>
<td>85</td>
<td>749</td>
</tr>
</tbody>
</table>

Table 3: Adaptations shifts across the corpus

As can be seen in Table 3, most adaptation shifts in the corpus as a total occur in Characterisation. In fact, as noted in Chapter 4, characters (both protagonists and minor characters) often become more prominent in the adaptation. Put differently, the most frequent Characterisation shift is the amplification sub-type of modulation, since character portrayals are more elaborate, more amplified, in the adaptation. This is what happens with characters such as Gerry (P.S. I Love You) and Nigel (The Devil Wears Prada), for example.

The second category with the most shifts after Characterisation is Plot structure (see Table 3 above). Notably, in the examined corpus, plot is often changed to a great extent, which means that alteration (i.e. the only sub-type of plot modification) is the most frequent shift type in Plot structure (see Table 4 in Chapter 4). A visual representation of shift categories per film adaptation is included in Figure 2:
As can be seen in the diagram above, there is not one category that features the most shifts throughout the corpus. Therefore, it seems to be difficult to identify shift patterns in the examined corpus. This also relates to the challenges presented in quantifying aspects of verbal and visual narratives. Nevertheless, a distinct finding that emerged from the data analysis is that the shifts in Characterisation and Plot structure are inter-related: characters hold a salient role in plot development in the analysed adaptations, and shifts in the representation of character portrayals have an impact on shifts in plot and vice versa. It is worth noting that it is not easy to determine a relation of causality between these shifts. In other words, the findings do not suggest which aspect, i.e. plot structure or characterisation, changes first and causes the other to change, too. If one takes the film adaptation as a point of departure, shifts in Plot structure can be seen to precede shifts in Characterisation. On the other hand, if one firstly examines paratexts such as the interviews of the director and/or the cast, it can be assumed that changes in character construal result in changes in plot. Nevertheless, there seems to be a strong inter-relation between shifts in these categories: when characters change, then the plot changes, and the opposite is true as well. Arguably, this is reflected in the fact that either Characterisation or Plot structure is the category with the most shifts in each adaptation (with the exception of the 2013 version of *The Great Gatsby*):
Figure 3: Categories with the most shifts per film adaptation

The interconnections between Characterisation and Plot structure appear to provide a link between *indices proper* (McFarlane 1996) and events of the narrative. According to McFarlane (1996), *indices proper* pertain to information around the characters and the setting and are quite pliable in the adaptation process. *Indices proper* are different from the *informants*, i.e. factual information about the characters and the setting. Both *indices proper* and *informants* relate to characters and setting: *indices proper* are usually changed in the adaptation, whereas *informants* are easily transferrable across media (McFarlane 1996: 14). As far as the events of the narrative are concerned, McFarlane (1996) calls *cardinal functions* and *catalysers* the major and minor events respectively. In a similar vein, Chatman (1978) uses the terms *kernels* and *satellites* to distinguish between the core narrative and ancillary events. Although both theorists supported that *cardinal functions/kernels* need to be transferred in the adaptation, while *catalysers/satellites* can be more freely omitted, the ways in which *indices proper* may intertwine with plot development seem to have escaped adaptation analysis so far. More broadly, the interaction between characters and plot in adaptation seems to have been under-researched.

The interplay between shifts in Characterisation and Plot structure suggests that the manipulation of *indices proper* can link with extensive changes in the plot structure. In the given corpus, it was observed that, when characters are foregrounded or portrayed as overly
emotional, aspects of the plot may be emphasised, underplayed or completely changed. To use the terms of the shift types, when characters are amplified or dramatized, the plot may be amplified, simplified or altered. In other words, character modulation (amplification, in particular) and modification (dramatization, in particular) can relate to plot modulation (i.e. amplification or simplification) or modification (i.e. alteration). For example, in P.S. I Love You, the amplification of Daniel’s character changes him from a peripheral character who remains a vague romantic interest for the protagonist (in the novel) to a quite central character who develops a special friendship with the protagonist (in the film). Arguably, this change is inter-related with a change in the plot, that is, the introduction of an additional male character (William) which develops the story in a different direction compared to the novel.

As previously noted, the most frequent Characterisation shift is amplification and the most frequent Plot structure shift is alteration. In simpler terms, characters are often foregrounded (e.g. young Noah and Allie in The Notebook) and plot is often completely changed (e.g. Tiffany’s plan in Silver Linings Playbook). As has been pointed out, shifts in Characterisation and Plot structure are inter-linked. As a result, it can be argued that the most notable inter-relation between Characterisation and Plot structure is the inter-relation between character amplification (i.e. a modulation sub-type) and plot alteration (i.e. a modification sub-type). For instance, in Silver Linings Playbook, the fact that Nikki is amplified as a character in the adaptation links with a plot twist not present in the source novel, i.e. her appearance at the dancing competition. Given that modulation involves subtle change, while modification involves a more pronounced kind of change, it is reasonable to assume that even subtle changes to character portrayals (i.e. changes to indices proper), which may lead to character amplification, can relate to plot alteration. This is also evident in the example described above.

From the above-mentioned follows that characters play a key role in film adaptations, perhaps even more so than the plot as such. Of course, this observation may limit itself to the genre at hand and its utter dependence on the characters and on their interpersonal dynamics, as explained in Chapter 3. Nonetheless, it can be argued that the shift patterns examined above suggest a change in focus: adaptation analysis needs to move beyond typologies based on transfer of narrative core alone (cf. Andrew 2000; Wagner 1975) and look more closely at the transposition of characters as well as plot. Therein seems to lie the “disappointment of the phantasy” (Metz 1982), in that audiences and adapters entertain divergent conceptualisations of the fictional characters and of the ways they want the characters to act and react in the film.
adaptation. The observed Characterisation shifts indicate that characters hold an integral part in
the adaptation, which is supported extratextually as well, since many paratexts centre on how
adapters and cast reinterpret the portrayed characters. Therefore, adaptations are arguably
rewritten through their characters and, by extension, through adapters and actors alike. Paratexts
such as interviews of the cast and extensive accounts of casting choices corroborate this
assumption, as explained in Chapter 5. The pivotal role of characters is further evidenced in the
fact that some characters ‘live’ beyond the confines of a single adaptation. For example,
characters like James Bond and Sherlock Holmes have propagated new narratives not included
in the source material in which they firstly appeared.

As regards the changes in the plot, the fact that alteration (i.e. the only plot
modification sub-type) is the highest-scoring shift type in Plot structure indicates that plot is
frequently changed considerably in the adaptation. As noted in Chapter 3, plot modification
can apply to both major and minor events but is easier to identify when it occurs in cardinal
functions/kernels. Chatman (1978) argues that kernels need to be transferred as such in the
adaptation so that the narrative logic is maintained. Similarly, McFarlane (1996) defines
cardinal functions as adaptation proper, i.e. the events that should be adapted in order for the
adaptation to be regarded as an adaptation and, more importantly, as a successful one at that
(within the fidelity paradigm). The data analysis contradicts this postulate: in the examined
adaptations, it was observed that the plot is frequently altered, yet the adaptations can be
recognised as such. Plot alterations do not necessarily bring about negative critique in the
analysed film reviews. In fact, Silver Linings Playbook, i.e. the adaptation with the most Plot
structure shifts in the corpus (see Table 32 above), received favourable reviews from film critics
and viewers alike (see also Chapter 5).

In the examined corpus, it was observed that the cardinal functions of the narrative,
which McFarlane (1996) defines as adaptation proper, were overall retained (despite being
altered at times) and that plot excisions were applied to minor events. As a result, cardinal
functions/kernels may be difficult to omit but are nevertheless susceptible to change. Despite
changes in the story-plot, adaptations with many Plot structure shifts were still presented as
adaptations based on a source novel. This suggests that even altering major events can still
trigger intertextual associations, which are a salient characteristic of adaptations in general
(Hutcheon 2013; Palmer 2004; Ray 2000). Negative criticism usually pertains to the actors’
performance (e.g. Gosling and McAdams’ over-the-top acting in The Notebook) or film-making
techniques (e.g. Luhrmann’s overly operatic style in The Great Gatsby). The only case where
there were references to ‘fidelity’ was the 1974 film version of *The Great Gatsby*. However, the criticism in that case was that the film remained too close to the novel (Handy 2013; news.com.au 2013), which disproves McFarlane’s dictum that a ‘faithful’ adaptation is a successful adaptation, at least in artistic terms; the impression that Clayton’s adaptation of *The Great Gatsby* was “unloved” is a lasting one, as it frequently features as such in articles appearing shortly after the release of Luhrmann’s adaptation (Handy 2013; news.com.au 2013).

Moreover, it is worth noting that Plot structure shifts are interconnected with shifts in Narrative Techniques. As Table 4 in Chapter 4 illustrates, plot *additions* are more frequent than plot *excisions* (both are sub-types of *mutation*). Interestingly, this goes against the assumption that adaptations usually omit many chunks of the source narrative so that the cinematic product can be more easily ‘digestible’ (Bazin 2000; Ray 2000). In fact, the adaptations of the corpus seem to manipulate temporal aspects of events rather than omit events altogether. These temporal aspects pertain to the duration and the order of events. As explained in Chapter 3, changes to the duration of events constitute *modulation* shifts and changes to the order of events constitute *modification* shifts in temporal sequence in Narrative techniques. According to Tables 10 and 4 in Chapter 4, there are 17 duration shifts and 27 order shifts in Narrative techniques, contrary to 11 excision shifts in Plot structure. In other words, *modulation* or *modification* shifts of Narrative techniques alone are more frequent than plot *excisions*. With this in mind, it can be argued that adapters tend to exploit creatively the expressive capacities of the cinematic medium rather than cutting short the narrative.

Furthermore, an important conclusion emerges in relation to *modulation* and *modification* shifts in the *presentation* dimension of Narrative techniques. Here, *modulation* occurs when the verbal narrative of the novel is (primarily) rendered as verbal narrative in the adaptation, in the form of voice-over and/or film dialogues; *modification* occurs when the verbal narrative of the novel is (primarily) rendered as visual narrative in the adaptation (see Chapter 3 for a more detailed analysis). The almost equal number of *modulation* and *modification* shifts in *presentation* implies that adaptations exploit both verbal and visual presentation modes and do not merely rely on visuals alone. The fact that information is synergistically communicated through different modes may require greater cognitive engagement on the audience’s part. Although this issue falls outside the scope of the present project, the findings in Narrative techniques in this respect agree with the view that film adaptations offer a multisensorial reward that is no less important than that of novel-reading (Hutcheon 2013; Stam 2005).
As far as Setting is concerned, this category features the fewest adaptation shifts as a total across the corpus and consistently in each of the adaptations, as can be seen in Figure 2 above. This pattern may relate to the fact that the particular genre places more emphasis on characters and plot than on setting. Nonetheless, when the fictional setting of the narrative belongs to a bygone era (as happens in The Notebook, partly, and in the two adaptations of The Great Gatsby), shifts in Setting are considerably more. Overall, setting is foregrounded, amplified, in both its temporal and its spatial dimension (see Figure 4 below). This trend in Setting shifts links with Characterisation shifts. Both setting and characters seem to be amplified when it comes to the communication of social messages. In other words, an emphasis on temporal and spatial setting combines with an emphasis on certain characters in order to underscore the social messages conveyed by the adaptation. This becomes clear both in the data analysis and in the paratext analysis, where cast and crew explain their choices of shooting locations and of acculturating characters to these locations. For instance, in The Notebook, amplifying the southern character of the setting works together with the amplification of Allie’s mother (who also boasts a distinctly southern accent) in order to highlight the conservatism of the spatiotemporal context; this conservatism is in turn reflected on the opposition against the relationship between Noah and Allie, who come from different social backgrounds.

The fact that the two film adaptations of The Great Gatsby present the most Setting shifts in the corpus may relate to the era of the source novel. The difference in shift numbers in Setting between the two film versions is roughly similar to that in Plot structure and Characterisation respectively between them as well, with the 2013 adaptation scoring slightly higher (see Table 32 above). Nevertheless, shifts in Narrative techniques are much more prominent in Luhrmann’s version. This may be explained by the director’s idiosyncratic directing style (evident in the relevant paratext) and by the advancement of film-making techniques and resources. Notably, the original script of the 1974 film version included references to cinematic techniques that were not widespread at the time, e.g. flashbacks and dream sequences (Gathenji 2013). This was another reason why that script was rejected (the other being its explicit acknowledgement of homosexuality). Therefore, it can be argued that the different approaches to the manipulation of plot, narrative techniques, characters and setting may link with the overall progress in the film industry as well as with a different attitude towards adaptations of classics. Of course, extratextual considerations such as the director’s reputation and the cast’s track record cannot be undermined. However, the 1974 adaptation also featured a renowned cast, i.e. Robert Redford and Mia Farrow, and an acclaimed screenwriter, i.e.
Francis Ford Coppola; similar liberties were not allowed in that case, though, as explained in Chapter 5.

So far, the discussion has focused on the descriptive categories of shifts and on the interrelations with each other. RQ1 is answered in that the shifts observed in the analysed data occur in specific facets of the narrative, i.e. Plot structure, Narrative techniques, Characterisation and Setting. It is also clear that the shifts in these categories are inter-dependent, thus contributing to the overall reinterpretation involved in the adaptation. The remainder of this section focuses even more on the variation of shifts within the descriptive categories. Looking at shift patterns from this perspective can shed light onto those aspects of each category that are chiefly emphasised in the adaptations of the corpus. The following figure illustrates the distribution of shift types, i.e. **modulation**, **modification** and **mutation**, within the descriptive categories:

![Shift occurrences per descriptive category](image)

**Figure 4: Shift occurrences per descriptive category**

Here, the prominence of plot **alterations** becomes even clearer. As can be seen in Table 33 above, **alteration** is the only sub-type of **modification** shift in Plot structure. On the contrary, plot **modulation** includes two sub-types, i.e. **amplification** and **simplification**. Figure 4 shows that **modification** shifts are more than **modulation** shifts in Plot structure. This means that plot **alterations** are more frequent than plot **amplifications** or plot **simplifications**. Put differently, events are more frequently radically changed than merely underlined or downplayed in the adaptation; the majority of plot changes are quite pronounced and not subtle. This can link with
the adapter’s creativity and reinterpretation as well (as the paratexts analysis indicated). Moreover, the fact that adaptations feature overall notable plot twists may also stand as an attention-grabber, in that an unexpected plot alteration can heighten suspense thus capturing the audience’s attention. This holds for plot changes in both major and minor events. As mentioned above, plot modification and modulation shifts can apply to both cardinal functions/kernels and catalysts/satellites (i.e. major and minor events respectively). As a result, alterations, amplifications and simplifications can be observed in both major and minor events of the narrative. On the other hand, mutation shifts relate primarily to minor events, i.e. catalysts/satellites; these are the ones usually added or excised in the examined adaptations.

The graph in Figure 4 may appear less conclusive as regards Narrative techniques, given, firstly, the complexity involved in quantifying verbal and visual narratives and, secondly, the fact that this category subsumes two sub-categories, i.e. temporal sequence and presentation, each with its own modulation, modification and mutation shift types (see Table 33 and analysis above for what modulation and modification in temporal sequence and presentation entail). Nevertheless, given that modulation and modification shifts in presentation are almost the same in numbers (see Table 10 in Chapter 4), the arithmetic difference illustrated in Figure 4 corresponds to the shifts in temporal sequence. This means that modification shifts are more frequent than modulation shifts in temporal sequence. In other words, the order rather than the duration of events is more frequently changed in the corpus analysed here.

Shifts in Characterisation present the greatest variation compared to the rest of the categories. Here, the amplification shifts alone (i.e. one of the modification sub-types) exceed all modification shifts, i.e. dramatization, objectification or sensualisation (see also Table 16 in Chapter 4). This suggests that aspects of the portrayed characters are more often than not highlighted in the adaptation and much less frequently dramatized or objectified or sensualised. In other words, characterisation changes are overall more nuanced, contrary to plot changes, for example, which involve distinct plot twists. Characterisation mutation shifts are much less frequent than either modulation or modification shifts, which means that characters are rarely added or excised (additions and excisions are both sub-types of mutation). It is worth noting that most Characterisation shifts result from manipulation of the informants (McFarlane 1996), i.e. factual information about the characters (and the setting). Contrary to McFarlane’s dictum that informants are easily transferrable across media (McFarlane 1996: 14), the data analysis
has shown that *informants* are often subject to changes in the examined adaptations. This also leads to the high number of Characterisation shifts.

In **Setting**, only 1 *simplification* shift was observed in both **temporal** and **spatial** setting (see Table 22 in Chapter 4). As a result, the difference depicted in Figure 4 corresponds to the *amplification* shifts in Setting as a whole. Put simply, Figure 4 shows that the adaptations of the corpus overall foreground, *amplify*, the setting (e.g. the southern setting in *The Notebook*). Both **temporal** and **spatial** dimensions of the setting are very often highlighted, whereas setting is generally less frequently *altered* (i.e. *modification* shift), *added* or *excised* (i.e. *mutation* shifts). It is worth noting that there is a shift pattern unique to **Setting**. *Mutation* shifts are more frequent than *modification* shifts: setting elements are more frequently added or omitted than utterly changed. Overall, setting is very rarely changed altogether. As argued above, this may relate to the fact that setting is not the focus of the examined genre. Moreover, Setting shifts, along with Characterisation shifts, are frequently used to convey socially-oriented messages; amplifying, adding or omitting aspects of the setting seems to be more fitting for this purpose than completely altering the setting.

In this section, the focus lay on the inter-relations between adaptation shifts of different categories as well as between those within the same category. This discussion also links with the issue of *obligatory* and *optional* shifts, which seems to have occupied the early stages of adaptation study (see Chapter 2). As noted in Chapter 2, this is another topic that can be traced both in translation and adaptation analysis. Similarly to translation, where systemic differences between languages may impose unavoidable shifts in the target text (Vinay and Darbelnet 1958/1995), certain shifts may also be obligatory in adaptation in that they derive from the inherent differences between the media involved. Nevertheless, as explained in Chapter 3, the shift types used in the descriptive/comparative component of the adaptation model developed in this project suggest a cline between more and less explicit shifts rather than a dichotomy between obligatory and optional shifts. The analysis presented above reinforces the observation that the distinction between obligatory and optional shifts is much less clear-cut compared to translation. More specifically, in this section, it was argued that some adaptation changes once assumed ‘obligatory’ do not bear the same urgency in the examined corpus. For instance, *cardinal functions/kernels* used to be considered as necessary to transfer as such onto the adaptation (Chatman 1978). Likewise, *informants* were thought to be adapted unaltered (McFarlane 1996). The findings of the data analysis have shown otherwise: the range of options in adaptation seems to be increasingly wide and largely dependent on the adapters’
reinterpretation. As a result, tackling the conundrum of obligatory and optional shifts in adaptation seems to be even more challenging than anticipated. Apart from the adapter’s vision, other reasons may also play an important part in the occurring adaptation shifts. This is the focus of the following section.

6.2. Deconstructing the adaptation shifts

This section focuses on RQ2, which sought to explain the adaptation shifts observed in the data and summarised above. Emphasis is placed on the reasons that may motivate the shifts and which may be detected in the paratext accompanying the two texts (i.e. the source material and the adaptation) as well as the production and the reception of these texts. Investigating these reasons falls under the interpretive component of the adaptation model developed in the project. Looking into the adaptation shifts from an interpretive perspective sheds light on the workings of the film industry, which can be extended to the literary system, including translations, and to creative industries in general.

Paratext analysis gave rise to the following categories of reasons: economic, creative and social reasons. Although film-making is usually instigated and motored by economic interests, the paratexts of the corpus highlighted the creativity invested by the participants involved in the adaptation process, e.g. screenwriters, directors and cast. Interviews of the cast and crew revealed their re-interpretive stance, thus underlining the creative reasons behind the shifts. At the same time, some of these interviews take place at the official premiere of the film or during the screening period. As a result, they contribute to the promotion of the film and to the accumulation of box-office profit. Other paratexts are also put in the service of the film’s promotion. This is especially obvious in the film trailer, or trailers, since some productions deploy more than one trailer at different points in time prior to the release of the film (e.g. Silver Linings Playbook and Luhrmann’s adaptation of The Great Gatsby).

This shows that economic and creative reasons commingle and this inter-relation sets and keeps in motion the film-making (and book-writing) cycle. Books that are adapted and gain popularity can lead to more books of the same book series (e.g. the Harry Potter book series) or of the same author (e.g. Nicholas Sparks’ novels). According to the success of these books and audiovisual products, translation may also be involved in the process of cultural dissemination: the books are translated and the audiovisual products are subtitled or dubbed. Therefore, translation is part of this cycle, given that book series may be greenlit for translation after the first films of the series gain traction with the audiences.
Moreover, some of the analysed interviews refer to the cast’s post-adaptation projects, as, when a film is released, another one is usually already in the making. In this way, the promotional material of one film serves as marketing hook for another one and as a link with the actors’ or directors’ past and future careers. What is more, the examined paratexts suggest that the acting space allowed for reinterpretation of narrative and characters may be dependent on the actors’ recent success. For example, Swank and Butler had gained recognisability before *P.S. I Love You* from films such as *Million Dollar Baby* (Eastwood 2004) and *300* (Snyder 2006) respectively, and Lawrence’s stardom had already been established through the first instalment of the *Hunger Games* film series, i.e. *The Hunger Games* (Ross 2012). Some of the analysed adaptations built on past collaborations and some opened doors for future collaborations between directors and actors, thus perpetuating the flow of film productions. For instance, LaGravenese had worked with Swank prior to *P.S. I Love You* in the drama *Freedom Writers* (LaGravenese 2007), released in the same year as *P.S. I Love You*, and Russell worked with both Cooper and Lawrence immediately after *Silver Linings Playbook*, in *American Hustle* (Russell 2013), and recently, in *Joy* (Russell 2015).

Having looked at the ways in which adaptations are re-imagined, re-interpreted, re-written and re-packaged by those involved in the film industry, it is useful to see what happens at the receiving end. As evidenced in the paratext analysis (see Chapter 5), film reviews and articles on the examined film adaptations move beyond commenting on performances (positively or negatively) towards (re-)reinterpreting the social relevance of the issues negotiated by the adaptation. This is particularly obvious in reviews commenting on the negotiation of grief depicted in *P.S. I Love You* (Holleran n.d.; Schwarzbaum 2007) and in articles discussing the social relevance of *The Great Gatsby* (Churchwell 2012; Geoghegan 2011; Gray 2013; Theodoropoulos 2013). Therefore, it can be argued that these and other reception-oriented paratexts condition the social acceptability of the given adaptation (or films, in general) as well as its artistic currency. Although they do indicate how creators’ re-interpretive stance is received by audiences, they more importantly frame expectations and direct audiences towards or away from the film. Notably, the paratexts analysed in this corpus showed discrepancies between reviews by film critics and by audience members (e.g. in the case of Luhrmann’s adaptation of *The Great Gatsby*), while in some cases there was no consistency within either, as some adaptations received mixed reviews by both critics and viewers (e.g. *The Notebook*).
Despite the controversy that some adaptations may incite, the insight of reception-centred paratexts should not be overlooked. Reception- and production-oriented paratexts reflect how the two respective sides respond to the social needs emerging in the new context of the adaptation. Different socio-temporal conditions prepare the ground for different re-creative viewpoints. For example, *Silver Linings Playbook* placed emphasis on the repercussions of financial insecurity and Luhrmann’s *The Great Gatsby* alluded to the psychological aftermath of modern-day recession at a time when economic and social instability was at its peak. The fact that these two adaptations were deemed successful suggests that the timing was appropriate and allowed such re-interpretive takes to be more easily accepted. Here, success is also translated in figures, as both of these adaptations are among the 12 highest-grossing films of their genre (Box Office Mojo 2012; Box Office Mojo 2013) (see Appendix 5 for specific figures). The “Box Office Mojo” website provides box-office information, historical data and release dates and is owned by the Internet Movie Database (IMDb) (McNary 2014). Moreover, the site compares films with similar ones “in terms of audience appeal, genre, tone, timeframe and/or release pattern” (Saulsbury 2004). It is worth noting that the criteria of classification may not be clear-cut and that films of similar genre span across the years, which may influence the rankings. Nevertheless, with the exception of Clayton’s *The Great Gatsby*, about which no extensive box-office information is available, all the examined adaptations score high in domestic (USA) total grosses, while *The Devil Wears Prada* comes fourth in its respective comparison with similar films (Box Office Mojo 2006).

From the above considerations it follows that there may be a link between the socio-temporal readiness and the economic success of an adaptation. Consequently, as long as there are favourable social conditions, certain productions may receive economic support more easily. Similarly, certain translations may be more easily commissioned in these cases. To this end, market research can prove helpful so as to glean audience expectations and map out the reception circumstances. The abundance of social network groups and fora speculating potential adaptations could be an enlightening source in this respect. For instance, a Facebook page called “Word & Film”\(^\text{20}\) often invites users’ comments as to which book they would like adapted or users’ thoughts on planned and released adaptations. Similarly, book-to-film adaptation clubs monitored online discuss potential film adaptations, while the “Best Fantasy

\(^{20}\) As of January 2016, the page has migrated to the “Signature” website (http://www.signature-reads.com/) which includes features such as news, interviews and articles on books, films and other expressions of cultural production.
Books’ website (bestfantasybooks.com) centres on fantasy and science-fiction books but often accommodates fora commenting on or anticipating adaptations of this genre.

It becomes clear then that there is an interplay between social circumstances of a given era, adapters’ re-creative and re-interpretative touch and economic profitability. Although the present project may not be able to pin down the various inter-relations at play, it can be a starting point towards linking adaptation and translation patterns with social relevance and economic success. As already argued, all the identified categories of reasons and paratexts are inter-related and thus create the following matrix of dynamics:

Figure 5: Dynamics between adaptation shifts, reasons and paratexts

As the discussion so far indicates, economic incentives may be the principal fuel of film-making, evident from the marketing stage to production and distribution. Nevertheless, paratexts that are employed for promotional purposes can also allow the participants of the adaptation to explain how the adaptation is re-conceptualised and recontextualised. As previously noted, this recontextualisation often depends on the sociocultural and socio-temporal exigency. Paratexts such as interviews and reviews usually link creativity with societal
necessity. It can be argued that foregrounding this link often pays off in accolades. For example, Russell (director of *Silver Linings Playbook*) and Cassavetes (director of *The Notebook*) frequently talked about the social function of their adaptations in their interviews. These films presented the most Plot structure shifts and the most Characterisation shifts respectively in the examined corpus (see Table 3 in Chapter 4). *Silver Linings Playbook* was awarded as the film with the best adapted screenplay and as the best film of the year (IMDb5 n.d.), while *The Notebook* won the Teen Choice Date Movie award (IMDb2 n.d.). This reinforces the argument that the success of a film adaptation, in creative terms at least, is not relevant to the extent to which the source narrative is changed. In the given corpus, the two films with the most shifts in total (i.e. *The Notebook* and Luhrmann’s *The Great Gatsby*) were awarded as best films in their respective categories (IMDb2 n.d.; IMDb4 n.d.). This may suggest that the adapter’s re-interpretive slant needs to be sustained and defended so that the adaptation can ascertain its value.

Reasons and adaptation shifts are not in a one-to-one relationship. The same holds for paratexts and reasons: paratexts may overtly point to one such direction of rationale while also leaving room for speculating underlying reasons. For instance, film trailers serve primarily as marketing devices of the distribution phase of the film industry (Gray 2010; Kernan 2004). However, given that they also create expectations for the film as such, the participants’ creative standpoint is also traced in the trailers. For instance, audiences may resort to inferences generated by the physical appearance of the characters, the choice of *mise-en-scène* and the overall tone of the adaptation as depicted in the trailer. What is more, interviews act as a platform for directors and cast to explain how they approach the adaptation from a creative as well as a social point of view, as previously argued. This matrix of inter-relations highlights the multifaceted act of recontextualisation in adaptations.

As already mentioned, the hermeneutic approach adopted in this framework for adaptation analysis can provide an outlook on the interconnections involved at different stages of film production. More broadly, it can reflect the intertwined relations at play in creative industries in general. From a different angle, the model may allow for pedagogical applications. More specifically, paratexts can be used as a resource towards translation choices of verbal and/or audiovisual texts, as they may disambiguate verbal or visual references. Film (and other) adaptations of verbal texts can act as paratexts themselves elucidating culture-specific references. For example, the translation of culture-specific items (CSIs) can be facilitated by a visual representation of the given CSI. Linking literary or other verbal texts with their
intersemiotic iterations can also help trainee translators and interpreters with their visual thinking, which can prove useful for matching semantic nuances with relevant associations. This could have further applications in the language-learning context; deploying literature and its adaptations for language-learning purposes can familiarise learners with several aspects of cultural production while learning a given language.

Furthermore, paratexts such as those used in the context of the present project can help gauge the need for certain texts to be translated, identifying the societal relevance of translations in a specific time and culture. In literature classes, adaptations can serve as an indication of alternative interpretations with regard to both classics and contemporary literature. It may be an overstatement to argue that adaptations can be sources of inspiration in creative writing programmes. Nevertheless, the distinctive reinterpretations encountered in adaptations could be incorporated in film-making courses, especially due to the freedom adopted by some adapters in exploiting the amplitude of meaning-making resources. In all the above-mentioned cases, studying adaptations in conjunction with their source texts can lead to a better understanding of different and intertwined modes of communication.

In what follows, the model applied in this project is evaluated by design. In other words, discussion centres on the feasibility of bringing together Translation and Adaptation Studies towards the development of an interdisciplinary framework, i.e. the desideratum of RQ3.

6.3. Adaptation tools made in Translation Studies: evaluating the adaptation model

The third Research Question aimed at bridging the methodological gap in Adaptation Studies by drawing upon insights from Translation Studies for the creation of an adaptation analysis model. This section examines to what extent this question was answered, and the model is evaluated against its application in the given corpus and the findings it yielded.

As was indicated in Chapter 2, adaptation is in many respects similar to translation. Not only do both processes entail a transfer of meanings between different cultures, but they are also highly context-dependent. Similarly to translation, adaptation is a sub-system in its own right and its position in the broader polysystem is monitored by its correlations with other sub-systems. It can be argued that adaptation is an intermediary sub-system between literature and film, intersecting the two and creating a centre and a periphery (Even-Zohar 1978/2012) in both. Films that are based on a literary source give prominence back to this source, thus often perpetuating literary sequels and leading to high-grossing film series (e.g. the Harry Potter,
*Lord of the Rings* and *Hunger Games* book and film series). As a result, Even-Zohar’s polysystem theory (1978/2012), developed with respect to the position of translation in the literary system, is relevant to adaptation as well.

According to Even-Zohar (1978/2012), translation norms and strategies are established in relation to the variant position of translations in the *polysystem* of a culture. As far as film adaptations are concerned, Andrew (2000: 37) emphasises that they constitute an important part of film practice and production. This is verified by the fact that most films nowadays are based on some type of source material, be it a novel, a biography, a play or a comic book. In fact, the majority of films released in 2014 and 2015 are adaptations, most frequently based on science fiction and comic books, and have made the highest domestic (USA) grosses in both years (Box Office Mojo 2014; Box Office Mojo 2015). According to Robehmed (2015: online), “nearly a quarter of the top 200 worldwide grossing films have been directly adapted from literature, excluding comic book or picture book translations”, which both reinforces the commercial viability of adaptations and underscores the role of translation in the constellation of creative industries. Furthermore, Cartmell (2012) and Murray (2012) attest to the long history of adaptations’ dominance in Academy Award nominations and wins, which is evident in 2016 Oscar nominations as well (Rice 2016). It is clear then that adaptations occupy a central position in the film system. Although an in-depth analysis of the correlations between the systems of literature, translation and film lies beyond the scope of this project, paratext analysis has given rise to some preliminary findings.

One of these is that the status of the source novel in the literary system has had an impact on the adaptation process. This was especially obvious in the 1974 adaptation of *The Great Gatsby*, which kept the source narrative untouched, as already pointed out (see Chapter 5). Nevertheless, the same novel has been approached differently at different eras: the 2013 film version recontextualised the novel for a contemporary audience with many allusions to the recent economic crisis. Although firm conclusions cannot be drawn, it can be speculated that the economic crisis was conceived as a period of general change which allowed for a different adaptation approach to the classic novel. As Even-Zohar (1978/2012: 166) remarks, “[p]eriods of great change in the home system are in fact the only ones when a translator […] is willing to attempt a different treatment of text making”. In the case of *The Great Gatsby*, the overall sociological impasse may have cued that specific reinterpretation on Luhrmann’s part (see Chapter 5).
Moreover, the cinematic techniques deployed in the 2013 adaptation of *The Great Gatsby* so as to transpose the narrative of the source novel (e.g. the embodiment of verbal description in the soundtrack) can be seen as an *innovative repertoire* of adaptation practice. According to Even-Zohar (1978/2012: 163), in periods of socio-economic changes, it is easier for a system to introduce new codes and norms, i.e. an *innovative repertoire*. This observation seems to apply to *Silver Linings Playbook* (Russell 2012) as well; although not based on a classic work of literature, *Silver Linings Playbook* presents the most Plot structure shifts in the corpus (see Table 3 in Chapter 4 and, similarly to *The Great Gatsby* (Luhrmann 2013), it was also released during the crest of the recession. Therefore, there may be a link between the socio-economic context of adaptation reception, the shift patterns and, potentially, the adaptation ‘norms’.

In addition, the concept of *patronage* (Lefevere 1982/2012), i.e. factors regulating the flow of narratives, is also germane to adaptation. As paratext analysis showed, the agents involved at different stages of adaptation-making exert their own influences onto the final product. These agents may range from film producers to the actual cast and crew and patronage can have an economic, creative and social dimension, as is the case with patronage monitoring translation as process and as product. The above-mentioned remarks support that adaptation can be approached as a system on its own merit which, similarly to translation, contributes to cultural production and is monitored by economic, creative and social agendas. The interpretive categories of the adaptation model stem from these multifaceted interests at work in adaptations. Arguably, drawing the separating lines between these categories is a complex endeavour because of the non-linearity of the film-making process and because these reasons intermingle throughout. However, this classification, albeit by no means exhaustive, has some theoretical foundation as well.

Starting from the premise that film-making is a process with economic and creative gravitas (Huettig 1985), it was expected that the reasons behind adaptation shifts would be similarly nuanced. Nevertheless, following Casetti’s (2004: 83) definition of adaptation as recontextualisation and renegotiation of social meaning, the economic and creative aspects were complemented by social considerations which were also found to play a part in certain adaptation shifts; hence the – more abstract – interpretive categories of the adaptation model. Moving towards the practical part, a methodological yardstick for investigating the adaptation shifts was devised based upon van Leuven-Zwart’s model of translation shifts (1989). This was
adjusted to the audiovisual texts at hand, encompassing the respective semiotic codes and providing thus the baseline for the answer to RQ3.

Overall, the model appears to support a systematic method of comparative analysis between the source material and the adaptation with an eye to investigating the recontextualisation manifested in adaptation. This means that the comparative component of the model goes beyond any fidelity concerns. Instead, the comparative analysis of the two texts aims at a hermeneutic approach to the adaptation process. In this way, the model constitutes part of an integrated framework for adaptation analysis which can shed light on the mechanisms sustaining cultural production and dissemination. Contemporary theories in Adaptation Studies seem to evolve towards a systemic and sociological approach to adaptation (Murray 2012) and highlight the mutual gains of a theoretical collaboration between Translation and Adaptation Studies (Coletta 2012; Hutcheon 2013; Venuti 2007). The reasons identified here, extracted from paratext analysis, further emphasise the similarities between translation and adaptation as systems thereby contributing to a methodological coalescence between the two fields.

Further adjustment of the model may be necessary when examining different genres. This falls under the limitations of the present project. Limitations notwithstanding, the findings of this project can point to future research avenues in adaptation and translation. These are elaborated in the following chapter.
7. Concluding remarks

The initial idea that inspired the present project lies in the multi-layered processes involved in adaptation and translation. As adaptation increasingly gains ground in all its different forms, it was thought that a study of adaptation as translation would encourage a better understanding of adaptation as a process and as a product. In other words, approaching adaptation from a translation-derived perspective can lead to a better understanding of the adaptation text (RQ1) as well as of the context situating the adaptation process (RQ2). As explained in Chapters 2 and 3, a comprehensive model for the analysis of adaptations seems to be currently lacking in the field of Adaptation Studies. As a result, an answer to the research problem of the project called for the development of the appropriate tools as well (RQ3). Put differently, the research aim of this study was fuelled by the affinities between adaptation and translation and by the methodological incoherence of adaptation-related research.

The project showed that adaptation and translation are indeed related and that so can be the methods of analysis used in both. The research aim was fulfilled through the development of a model that draws upon insights from Translation Studies, Narratology and Adaptation Studies. Its two components cater for the systematic classification of adaptation shifts (descriptive/comparative component) and for the explanation of these shifts by reference to contextual factors of production and reception (interpretive component). The Research Questions were answered through recognising the different expressive capacities of the two media involved and through applying the principles of translation analysis to its intersemiotic and intermedial counterpart of adaptation analysis. Central to the study of adaptations are the concepts of recontextualisation (Casetti 2004) and reinterpretation (Leitch 2008; Venuti 2007). These concepts were embedded in the adaptation model and they were examined in the corpus on a textual and on a contextual level. More specifically, the model enabled a systematic analysis of the ways in which adaptations interact with their source texts as well as with the surrounding sociocultural environment. As a result, the project put forward a holistic hermeneutic framework for adaptation analysis through a combined study of the adaptation texts and of the factors conditioning the context of production and reception. This framework brought together theoretical viewpoints from various disciplines thus buttressing the interdisciplinary nature of adaptation itself.

The model was applied to six film adaptations and their source texts. The findings pointed to specific narrative aspects in which adaptation shifts take place (RQ1), which are
namely the plot structure, narrative techniques, characterisation and setting of the adapted narrative. Setting consistently accommodated the fewest shifts, which may relate to the genre under examination (as argued in Chapter 6). On the other hand, characters were found to draw considerable attention in the cinematic transposition, with the most adaptation shifts occurring in this aspect of the narrative (see Chapter 4). In addition, a study of plot structure in source novel and adaptation revisited early remarks in adaptation research. Contrary to what Chatman (1978) and McFarlane (1996) identified as ‘necessary to adapt’, this project indicated that the boundary between what needs to be adapted and what can be adapted is fuzzier than it was thought to be. In fact, the implemented shifts appear to depend less on the differences between the media themselves and more on the agents’ creativity. As explained in Chapter 5, the adapters’ resourcefulness and reinterpretation of the source material was one of the main reasons for the adaptation shifts observed in the corpus. For example, Luhrmann used song as a narrative device in The Great Gatsby and Cassavetes opted for more temperamental characters in The Notebook.

The most noteworthy trend that emerged from the findings is the interplay between character construal and plot. This finding is supported by both the analysis of the novel-adaptation pairs and by the analysis of paratexts accompanying these pairs. In all the examined adaptations, there seems to be a reciprocal relation between characters and plot which essentially differentiates the adaptation from its source text. Characters and plot were found to be interconnected and this had a bearing on the actualisation of the adaptation product as well as on the conceptualisation of the adaptation process. As the paratexts indicated, the agents involved in the adaptation process capitalised on these two aspects in order to give their own reinterpretation of the adapted narrative. The reception of the adaptations also relates to issues of plot structure and characterisation (see Chapter 5). This is so in cases where the film is positively or negatively received. Interestingly, plot structure and characterisation are two elements that can make or break the reception of film adaptations of other genres. For example, the biopic The Imitation Game (Tyldum 2014) was praised for its approach to the protagonist and its story plot (Kermode 2014) and the comic book adaptation Batman v Superman: Dawn of Justice (Snyder 2016) was lambasted for the same reasons (Collin 2016).

The observed adaptation shifts were found to be motivated by a combination of economic, creative and social reasons (RQ2). These reasons seem to be the nexus of forces that impact on adaptation as a creative practice in the broader sociocultural system. Albeit individually different in each case, this set of economic, creative and social reasons is a constant
variable in the adaptation process in the analysed cases. Adaptation as a process is largely dependent on its communicating vessels, i.e. the literary system and the film industry. This along with the findings mentioned above steer the study of adaptations further away from a fidelity-based analysis, unearthing the intricate matrix of interdependencies in the system(s) of cultural production (cf. Corrigan 2012; Leitch 2012; Elliott 2014).

The insights provided by the paratexts cast the spotlight on the agency involved in the making of adaptations. Notably, the fact that characters hold a pivotal role in an adaptation project underlines the importance of the human factor. This means that characters, albeit fictional, are re-interpreted and re-enacted by real-life people who interweave their own experiences and input into the cinematic reincarnation of novelistic characters. Adding to this the fact that marketing and film-making capitalise on the conflation of real-life and fictional personae further bolsters the agency prevalent in the adaptation process. An analysis of the texts and their paratexts gives additional prominence to the creativity invested in adaptation, which is thus deemed a work of art in its own right. Put differently, it was shown that adapters turn from users of the source material to producers of new material based on motivations deriving from within and outside their own experiences, inspirations and motivations. Therefore, it can be argued that the intertextual nature of adaptation as advocated by theorists such as Stam (2005) and Hutcheon (2013) has been built upon: intertextuality is not perceived only as the relationship holding between the source material and the adaptation but extends to the adapters’ own intertexts (Hutcheon 2013: 84). Additionally, the utter dependence of adaptation on its accommodating context has been confirmed as well (cf. Casetti 2004; Nicklas and Lindner 2012; Venuti 2007).

To summarise, the contribution of the present study can be encapsulated in the following:

- The present project builds on the synergies between translation and adaptation, bringing together theoretical aspects akin to both research areas and offering an analytical tool for the study of adaptations.
- This tool is a model for the systematic analysis of adaptations which is mapped onto the study of translation shifts.
- The model enables a comprehensive analysis of adaptations within a matrix of economic, creative and social reasons, which are ultimately manifested in the adaptation process and product. These reasons can also influence the reception of the adaptation and determine the success of the adaptation accordingly.
- The analysis of the corpus highlights the role of the agents involved in the adaptation. It also shows that the final product is a result of creativity and reinterpretation, and not an imitative by-product of the source text.
- The data analysis points to findings which may be telling for the flow of narratives in the contemporary context of cultural production.
- The model has potential for use in other adaptation types and genres. It can also enable the study of the discursive capacities of meaning-making resources such as words, images, music and the interaction with each other. Therefore, the model could be applied to translation as well, as multimodality is increasingly germane to translation itself.

As can be concluded, the project answered the Research Questions and fulfilled the research aim set out in Chapter 3. However, certain limitations need to be acknowledged as well.

As already noted, this project is of a small scale, focusing on six film adaptations of a specific genre. As a result, the emerging findings are of limited generalizability. Nevertheless, the model for adaptation analysis proposed here is flexible enough to be applied to different genres, which could lead to convergent (or not) conclusions. The findings that emerged from the data analysis point to some interesting trends in adaptation and may pave the way for future research in Adaptation and Translation Studies. More specifically, research on the collaborative workings between the literary and the film system may be insightful as to the ways in which materials are selected for adaptation and how adaptations, in turn, motor the publishing industry. Further research seems to be necessary so as to crystallise the relation hinted upon in this project, i.e. the relation between the selection of texts to be adapted and the set of contextual circumstances within which this selection takes place. This relation may be rooted in a sociologically nuanced reasoning, as adaptations and their source novels can be carriers of cultural and ideological content (Wayne 2002).

Moreover, given that interlingual translation is also part of the adaptation/localization of cultural products, its role in the process of cultural dissemination should not be overlooked. Investigating audience reception trends in relation to the adaptation of certain cultural products could enhance the adopted marketing policies. Examining adaptations and their translations may also help map out the migrating routes of adaptations, which could thus yield interesting findings for cultural dissemination across (inter)national boundaries. It should be noted that the corpus of this project did not include film adaptations that involved interlingual translation because such texts would require a multi-layered analysis which would exceed the scope and timeframe of a single doctoral project (e.g. the analysis of the translation process from source
to target language for the source novels, the adaptation from novel to film, the audiovisual translation of the films and the paratextual analysis of all the texts involved).

However, these are issues fitting for further research which can investigate the intertwined relations between all these different processes of translation/adaptation. Looking into the inter-relations between an adaptation project, its translations and its audience reception could shed light on the reasons why certain cultural products (e.g. books, films and the relevant franchise) are more popular or better received in some countries rather than others. Notably, some of the analysed adaptations fared poorly in domestic (USA) total grosses but produced a three times higher worldwide profit; such a case in point is *P.S. I Love You*. As can be seen in Appendix 5, with the exception of *The Great Gatsby* (Luhrmann 2013), which comes first in both domestic (USA) and worldwide gross income, the list is reshuffled when the adaptations are ranked based on their foreign grosses. Another example is the recent film adaptation *Warcraft: The Beginning* (Jones 2016), based on the *Warcraft* video game series, which flopped in the American box office but is on its way to become “the highest-grossing Hollywood film in China” (BBC 2016). As already mentioned, research into international marketing campaigns and audience reception can shed light on audience preferences in different countries.

Some additional observations emerging from the present project may also serve as a springboard for future research avenues. The fact that collaboration is particularly prevalent in adaptation is evident in that the final product, along with all the observed shifts, is the result of many agents involved in the process, from the screenwriter and the director to the costume designer and the music supervisor – and even the singers performing the soundtrack of the film. This collaborative element does not limit itself to the film-making process but is extended to the film system and the publishing industry as well. The source novel’s author co-operates with the production company by handing over copyright permission so that the adaptation project can commence, even if the author’s contribution may be as limited as that. On the other hand, according to Murray (2012), in some cases, contemporary writers produce work to be adapted for other media and build their literary reputation around the circulation of these evolved texts. In this way, there seems to be a reciprocal cultural and commercial collaboration not only between texts and contexts but between agents and systems. Murray (2012: 49) underlines that adaptation takes place in “an industrial and overwhelmingly commercial context”. In support of this statement, the analysis of the adaptations of the corpus, their source novels and the respective paratexts showed that the approach to the adapted material and to the adapters’ role is dependent on many factors, such as the popularity (or not) of the author of the source novel,
the status and marketability of the novel, the adapter’s and cast’s track record as well as the sociocultural context where the adaptation is produced and received.

In fact, the paratext analysis suggests that an adaptation project increases the visibility of all the agents involved, including the authors of the source novel, even if they do not play a decisive part in the adaptation. For example, Ahern, the author of *P.S. I Love You*, publicises her new books in most of the interviews staged to promote the film and Quick is interviewed on the process of writing *The Silver Linings Playbook* after the adaptation is released. It is worth noting that both authors had a limited advisory role in the adaptation process (see Chapter 5). On the other hand, some of Sparks’ novels had already been adapted for the big screen before *The Notebook* was made into a film. Given that 11 out of 19 of Sparks’ novels have been adapted (IMDb6 n.d.), he may be seen as benefiting from and contributing to the concept of contemporary literary authorship, which is fundamentally founded on the adaptation economy, according to Murray (2012). At the time when the corpus of this project was selected,21 *The Notebook* was the most profitable film adaptation of Sparks’ novels and perpetuated the adaptation of more of his books. What is more, Sparks progressively acquired an increasingly active role in the adaptation process of his books: he was actually one of the producers for four of his most recent adaptations and, as he admitted in an interview, he had always been consulted in regard to the casting of the films since *The Notebook* (Sparks 2016). Weisberger’s *The Devil Wears Prada* was also a bestseller before it was adapted into a film; thus, the economic success of the source novels may have been a primary motivation for the film adaptations in this case.

These observations may partly account for the selection of novels to be adapted and for the intermedial transmutation of narratives in general. Since the size of the present corpus does not allow for any distinctive outstanding patterns, future research can examine more closely the factors that instigate and sustain the adaptation mechanics. Apart from the ‘bestseller effect’, which may have an impact on the selection of material to be adapted, the readiness of the receiving context may also serve as source of inspiration for the adaptation of certain classics, as happened with Luhrmann and his decision to adapt *The Great Gatsby* (see Chapter 5). These and other factors are telling when it comes to investigating the parameters of the success of adaptations, which most of the time is both economic and artistic, as noted above.

It is clear that there are many variables monitoring the recontextualising act of adaptation and that they cannot be all examined at once. The systematic approach to adaptation

---

21 A film based on Sparks’ novel *The Choice* (2007) was released in February 2016 (IMDb6 n.d.).
analysis adopted in this project could help the film industry select material that lends itself for adaptation. In line with this, the study of other cases of adaptation (e.g. novelisation, video game adaptation, radio adaptation) may also prove apt for disentangling the interconnections and the reciprocal exchanges between various creative enterprises and the industries behind them. Cartmell (2012) and Leitch (2012) underscore the burgeoning field of 21st-century adaptations which now includes “popular adaptations, film to novel adaptations (novelizations), television, video games, […] novel to film to musical adaptations” (Cartmell 2012: 7) and can expand to adaptations in “oral storytelling, radio, television, and hypermedia” (Leitch 2012: 91). Additionally, investigating the role of translation in the marketing and outreach of adaptations on this level would reinforce the position of audiovisual translation in the entertainment industry in a global context.

It needs to be noted that the present project took into account the reception of the books and the respective adaptations in order to gauge viewers’ and critics’ responses to the filmic product. Nevertheless, the focus mainly lay on the participants of the adaptation process, centring on their own conceptualisation of their re-interpretative role. The receiving end of the process needs to be further examined. Notably, the rise of media convergence culture (Jenkins 2006) has recently attracted attention due to the actively political role held by participatory cultures, i.e. virtual communities made up of consumers who then become producers of artistic material, such as amateur subtitling of audiovisual content (Pérez-González 2016). Therefore, it would be interesting looking into the ways in which such proactive audiences deal with adaptations. In fact, Corrigan (2012) argues that the dynamics involved in convergence culture has established the reception of films in general as remediations and interactive exchanges. Similarly, Casarini (2014) argues that the collaboration and interaction within virtual communities contributes to practices of textual poaching, whereby “viewers construct their own meanings from the texts they receive from producers, re-encoding their interpretation into works of fan fiction, fan art, and fan videos” (Casarini 2014: online; emphasis in the original).

Reception studies have gained prominence in Audiovisual Translation (Pérez-González 2014b; Remael, Orero and Carroll 2011). At the same time, networking platforms spur an avid development of fandom and fan-generated content, such as mash-ups, fanzines and ‘sweding’ videos (i.e. remakes of films with minimum budget), freely distributed on the web (Hutcheon 2013). Social network groups discussing or criticising existing adaptations or contemplating over future ones are also on the rise. As a result, looking into reception trends or preliminary expectations of audiences may be insightful in regard to the marketing of such cultural texts as
well as to the proliferation of the relevant narratives through prequels, sequels and the concomitant franchise. Such a sociological approach to cultural production may disambiguate the ways in which economic, creative and social considerations converge to a holistic notion of success, with all the associated economic profit and sociocultural trajectory. Implementing a reception-targeted element in the adaptation framework developed here can lead to an integrated model of cultural representation. This can also find application in Translation Studies, where it may help raise awareness of the role of translation in the contemporary age of intermedial communication.
References


Primary sources


cocnutmilk83 (2009a) *Meryl Streep - Interview for 'The Devil wears Prada'.* Available at: [https://www.youtube.com/watch?v=iQ2HyqCNbhk](https://www.youtube.com/watch?v=iQ2HyqCNbhk) (Accessed: 1 July 2015).

cocnutmilk83 (2009b) *Meryl Streep & Anne Hathaway - The Devil wears Prada Interview.* Available at: [https://www.youtube.com/watch?v=2I6i8dtHeus](https://www.youtube.com/watch?v=2I6i8dtHeus) (Accessed: 1 July 2015).


Das, L. (2010) *Think the boss in The Devil Wears Prada was a total monster? Well she was even scarier in real life.* Available at: [http://www.dailymail.co.uk/femail/article-1304528/Lauren-Weisberger-The-Devil-Wears-Prada-boss-scarier-real-life.html](http://www.dailymail.co.uk/femail/article-1304528/Lauren-Weisberger-The-Devil-Wears-Prada-boss-scarier-real-life.html) (Accessed: 1 July 2015).


Internet Archive (n.d.) Full text of "The rising tide of color against white world-supremacy". Available at: http://archive.org/stream/risingtideofcolo00stoduoft/risingtideofcolo00stoduoft_djvu.txt (Accessed: 22 March 2015).


kermodeandmayo (2013) *The Great Gatsby reviewed by Mark Kermode*. Available at: [https://www.youtube.com/watch?v=xTW0qtgl4Uo](https://www.youtube.com/watch?v=xTW0qtgl4Uo) (Accessed: 12 April 2015).


223


Stevens, R. (2003) *Before Zelda, there was Ginevra: Documents tell more about Fitzgerald's relationship with his first love*. Available at: http://www.princeton.edu/pr/pwb/03/0907/1c.shtml#top (Accessed: 12 April 2015).


*The Film Programme* (2013) BBC Radio 4, 16 May.


The World of Movies (2013c) *The Great Gatsby - The swinging sounds of Gatsby part1 - behind the scenes*. Available at: https://www.youtube.com/watch?v=l2scCCU9-0g (Accessed: 12 April 2015).


TributeMovies (2013a) Baz Luhrmann - The Great Gatsby interview. Available at: https://www.youtube.com/watch?v=9S20QmP1hIM (Accessed: 12 April 2015).


**Filmography**


Appendices

Appendix 1: “Girl from the North Country” – Silver Linings Playbook (Russell 2012)\(^\text{22}\)

If you’re travelin’ in the north country fair
Where the winds hit heavy on the borderline
Remember me to one who lives there
Oh she once was a true love of mine

See for me if her hair’s hanging down
It curls and falls all down her breast
See for me that her hair’s hanging down
That’s the way I remember her best

If you go when the snowflakes falls
When the rivers freeze and summer ends
Please see for me if she’s wearing a coat so warm
To keep her from the howlin’ winds

If you’re travelin’ in the north country fair
Where the winds hit heavy on the borderline
Please say "hello" to the one who lives there
Oh she was once a true love of mine

If you’re travelin’ in the north country fair
Where the winds hit heavy on the borderline
Remember me to one who lives there
Oh she once was a true love of mine

A true love of mine
A true love of mine
True love of mine
A true love of mine
A true love of mine
She was once a true love of mine

Appendix 2: “100$ Bill” – *The Great Gatsby* (Luhrmann 2013)\(^{23}\)

[Intro: Leonardo DiCaprio – lines from the film]
“My life has got to be like this, it’s got to keep going up.”
“I’ve been in several things, I was in the drug business, then I was in the oil business, but I’m not in either one now, you understand?”
“I had my own little business on the side, a sort of sideline... a rather confidential sort of thing... but you might make a nice bit of money.”

Benjamin Franklins filled, fold it just for the thrill
Go numb until I can’t feel, or might pop this pill
Stock markets just crash, now I’m just a bill
History don’t repeat itself, it rhymes, 1929, still
Write like Mark Twain, Jay Gatsby, I park things
Yellow cars, yellow gold like Slick Rick
Still tip on four-four’s
Four-four’s at the 4-0, (Wait), for O
Dollars fall on the skin, some might call it sin
Politicians all move for money, what the hell are we callin’ them?
Low life, I’m crawlin’ out, 911, I Porsched it out
Y’all niggas all hypocrites, y’all know what this shit is all about
Hunnid dolla, hunnid, dolla, bill, real, uh

[Interlude: Leonardo DiCaprio and Joel Edgerton – lines from the film]
“Her voice is full of money.”
“He’s a crook, George. He throws those parties the papers are always talking about.”
“I didn’t want you to think I was just some nobody.”
“We were born different. It’s in our blood.”

New heroines, new Marilyns
Move coke through Maryland
Through Easton, oh you beastin’
Move fat packs, Jack Gleason
The honeymoon’s over with the streets shit
Least see my kids on the weekend
Carter, new Kennedy
No ordinary Joe, you’ll remember me
No prohibition for my coalition
Colin Powell, general admission
You’re all welcome, new Malcolm, of the talcum
“By any means,” AK lookin’ out the window screen
“Let’s Get It On,” new Marvin
Who wanna become my 100th problem?
Semi-automatic or revolver, semi-automatic I’ll solve em
Einstein, my mind, this MC move white squares with my relatives
That cheese made us constipated couldn’t tell us shit
Took that Taylor Swift to a hundred fucking million, bitch
I’mma let ya’ll continue but... haha...

\(^{23}\) Lyrics adapted from [http://www.metrolyrics.com/100-bill-lyrics-jayz.html](http://www.metrolyrics.com/100-bill-lyrics-jayz.html)
[Interlude: Leonardo DiCaprio and Tobey Maguire – lines from the film]

“It’s called greed, old sport.”

“That’s right!”

“Who is he anyhow, an actor?”

“Meyer? No, he’s a gambler. He’s the man who fixed the 1919 World’s Series.”

“Fixed it?”

“Fixed it.”

“Well, how’d he manage that?”

“Oh... saw the opportunity, I suppose.”

I need a hunnid bricks on them hunnid blocks
I got a hunnid drops, took a hunnid cops, uh
A hunnid blocks, I need a hunnid bricks on them hunnid blocks, uh
Decade of decadence, ill reverence, irreverence
Decade of decadence, ill reverence, irreverence
Uh, young, uh
I need a hunnid bricks on them hunnid blocks
I got a hunnid, I got a hunnid drops
Need a hunnid, got a hunnid
Got a hunnid, hunnid, uh
Hunnid, dolla, bill, real
Appendix 3: “Over the love” – *The Great Gatsby* (Luhrmann 2013)$^{24}$

Ever since I was a child
I’ve turned it over in my mind
I sang by that piano
Tore my yellow dress and
Cried and cried and cried
And I don’t wanna see what I’ve seen
To undo what has been done
Turn off all the lights
Let the morning come

Now there’s green light in my eyes
And my lover on my mind
And I’ll sing from the piano
Tear my yellow dress and
Cry and cry and cry
Over the love of you

On this champagne, drunken hope
Against the current, all alone
Everybody, see, I love him
‘Cause it’s a feeling that you get
When the afternoon is set
On a bridge into the city

And I don’t wanna see what I’ve seen
To undo what has been done
Turn off all the lights
Let the morning come

Now there’s green light in my eyes
And my lover on my mind
And I’ll sing from the piano
Tear my yellow dress and
Cry and cry and cry

‘Cause you’re a hard soul to save
With an ocean in the way
But I’ll get around it
I’ll get around it
‘Cause you’re a hard soul to save
With an ocean in the way
But I’ll get around it

Now there’s green light in my eyes
And my lover on my mind
And I’ll sing from that piano
Tear my yellow dress and

---

Cry and cry and cry and
Over the love of you
(I can see the green light)
(I can see it in your eyes)
Appendix 4: DVD and book covers

The DVD cover of *P.S. I Love You* (LaGravenese 2007); available at: https://www.google.co.uk/search?q=ps+i+love+you+book&es pv=2&biw=1366&bih=643&source=lnms&tbm=isch&sa=X&ved=0CAYQ_AUoAWoVChMI3aeU1Zy_yAIVRnUPCh1sv wXy#tbm=isch&q=ps+i+love+you+film&imgrc=nBpNzAUn phxz7M%3A

The book cover of *P.S. I Love You* (Ahern 2004); available at: https://www.google.co.uk/search?q=ps+i+love+you+book&es pv=2&biw=1366&bih=643&source=lnms&tbm=isch&sa=X&ved=0CAYQ_AUoAWoVChMI3aeU1Zy_yAIVRnUPCh1sv wXy#imgrc=XkUgPOD_6VR20M%3A
The DVD cover of *The Notebook* (Cassavetes 2004); available at:
https://www.google.co.uk/search?q=the+notebook+film&espv=2&biw=1366&bih=643&source=lnms&tbm=isch&sa=X&ved=0CAYQ_AUoAWoVChMI6IWO_pb_yAIVhkYPCh0b4ges#imgrc=cgpm-HelGb976M%3A

The book cover of *The Notebook* (Sparks 1996); available at:
https://www.google.co.uk/search?q=the+notebook+film&espv=2&biw=1366&bih=643&source=lnms&tbm=isch&sa=X&ved=0CAYQ_AUoAWoVChMI6IWO_pb_yAIVhkYPCh0b4ges#tbm=isch&q=the+notebook+novel&imgrc=07XzkRhrfyhGZM%3A
The DVD cover of *Silver Linings Playbook* (Russell 2012); available at:
https://www.google.co.uk/search?q=silver+linings+playbook+book&espv=2&biw=1366&bih=599&source=lnms&tbm=isch&sa=X&ved=0CAYQ_AUoAWoVChMIIO2vyp3_yAlVxqYOCh3aCwMd"

The book cover of *The Silver Linings Playbook* (Quick 2008); available at:
https://www.google.co.uk/search?q=silver+linings+playbook+book&espv=2&biw=1366&bih=599&source=lnms&tbm=isch&sa=X&ved=0CAYQ_AUoAWoVChMIIO2vyp3_yAlVxqYOCh3aCwMd#imgrc=cdb9TB7Gp_g0pM%3A
The DVD cover of *The Devil Wears Prada* (Frankel 2006); available at: https://www.google.co.uk/search?q=the+devil+wears+prada+dvd&biw=1366&bih=599&noj=1&source=lnms&tbm=isch&sa=X&ved=0CAgQ_AUoAWoVChMI1YDWPaP_vAIVBf0OCh1SzA-W#imgrc=nNl1Glovi8A5MM%3A

The book cover of *The Devil Wears Prada* (Weisberger 2003); available at: https://www.google.co.uk/search?biw=1366&bih=599&noj=1&tbm=isch&sa=1&q=the+devil+wears+prada+book&oq=the+devil+wears+prada+book&gs_l=img.3..0i19l3j0i30i19.171238.171670.0.171786.4.4.0.0.0.0.114,309.1j2.3.0....0...1c.1.64.imgur_1.3.308.E8j9X8LM7RM#imgrc=Vv8ued3DVLfxIM%3A
The DVD cover of *The Great Gatsby* (Clayton 1974); available at:
https://www.google.co.uk/search?biw=1366&bih=599&noj=1 &tbm=isch&sa=1&q=the+great+gatsby+1974&oq=the+great+gatsby+1974&gs_l=img.3..0j0i30l9.41104.41952.0.42223.4.3.0.1.1.0.145.338.2j1.3.0....0...1c.1.64.img..0.4.353.tI5F7pP-Zhk#imgrc=ZtzQT33WFl_cGM%3A

The book cover of *The Great Gatsby* (Fitzgerald 1925); available at:
https://www.google.co.uk/search?q=the+great+gatsby&espv=2&biw=1366&bih=643&source=lnms&tbm=isch&sa=X&ei=mu0eVbanJJzLaMfOgCA&ved=0CAIQ_AUoAQ" "tbm=isch&q=the+great+gatsby+book&imgrc=w6O6LviEe9H72M%3A
Appendix 5: Gross income of the film adaptations of the corpus²⁵

<table>
<thead>
<tr>
<th>Film adaptation</th>
<th>Budget</th>
<th>Domestic total gross</th>
<th>Worldwide gross</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Great Gatsby 2013</td>
<td>$105 million</td>
<td>$144,840,419</td>
<td>$351,040,419</td>
</tr>
<tr>
<td>Silver Linings Playbook</td>
<td>$21 million</td>
<td>$132,092,958</td>
<td>$236,412,453</td>
</tr>
<tr>
<td>The Devil Wears Prada</td>
<td>$35 million</td>
<td>$124,740,460</td>
<td>$326,551,094</td>
</tr>
<tr>
<td>The Notebook</td>
<td>$29 million</td>
<td>$81,001,787</td>
<td>$115,603,229</td>
</tr>
<tr>
<td>P.S. I Love You</td>
<td>$30 million</td>
<td>$53,695,808</td>
<td>$156,835,339</td>
</tr>
<tr>
<td>The Great Gatsby 1974</td>
<td>$6.5 million</td>
<td>$20,563,273</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Ranking according to domestic total gross

<table>
<thead>
<tr>
<th>Film adaptation</th>
<th>Budget</th>
<th>Domestic total gross</th>
<th>Worldwide gross</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Great Gatsby 2013</td>
<td>$105 million</td>
<td>$144,840,419</td>
<td>$351,040,419</td>
</tr>
<tr>
<td>The Devil Wears Prada</td>
<td>$35 million</td>
<td>$124,740,460</td>
<td>$326,551,094</td>
</tr>
<tr>
<td>Silver Linings Playbook</td>
<td>$21 million</td>
<td>$132,092,958</td>
<td>$236,412,453</td>
</tr>
<tr>
<td>P.S. I Love You</td>
<td>$30 million</td>
<td>$53,695,808</td>
<td>$156,835,339</td>
</tr>
<tr>
<td>The Notebook</td>
<td>$29 million</td>
<td>$81,001,787</td>
<td>$115,603,229</td>
</tr>
<tr>
<td>The Great Gatsby 1974</td>
<td>$6.5 million</td>
<td>$20,563,273</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Ranking according to worldwide gross

²⁵ Data collected from [www.boxofficemojo.com](http://www.boxofficemojo.com).