# Elementary-Level Japanese L2 Listening Strategies Employed During a Phone Conversation

Akiko Hagiwara

# Abstract:

For elementary level L2 learners, obtaining help form their interlocutors is an important skill to continue a conversation. The current study focuses on L2 Japanese learners' strategies during a phone conversation with a native speaker (NS). One way to account for their struggles when speaking with NSs is their ineffective use of strategies to elicit information. The most commonly used strategy is uptaking, an indication of having understood previous utterance. However, more detailed observation of such a strategy is necessary to better account for L2 learners' difficulty continuing a conversation with NSs. This study analyzed learners' successful and unsuccessful uptaking strategies. The results indicate that anticipating a NS's utterances was particularly challenging for elementary level learners, and suggest that repetition of interlocutors' previous statements may aid elementary level learners in obtaining the information they need.

Keywords: L2 listening, NS-NNS interaction, uptaking, reception strategies, repetition

#### 1. Introduction

This pilot study intends to explore the nature of the difficulties second language (hereafter L2) learners face while they engage in a telephone conversation. When elementary or early intermediate L2 learners are engaged in a conversation with NSs, exposure to unfamiliar lexical items and/or syntactic structures is unavoidable. Communication breakdown most likely occurs when no clue is given to learners for the comprehension of what they have just heard. Since conversation is ephemeral in nature, understanding the meaning of unfamiliar vocabulary or structures is a hard task for L2 learners. In an L2 classroom, teachers provide learners with various aids to carry on a conversation. Nonverbal cues, including facial expressions or gestures, aid L2 learners in face-to-face conversations (Cohen, 2005; McCafferty, 2002). McCafferty found many instances in which both a learner and a teacher used gestures in an attempt to convey the meaning of unfamiliar words that a learner was having difficulty communicating. McCafferty (1998) argues that L2 learners' use of gestures is tied to what they are struggling to express. In situations where nonverbal cues are unavailable, learners are deprived of useful visual aids. Under such circumstances, learners need to acquire skills to compensate for the lack of visual aids available.

This study argues that L2 learners should play an active role in eliciting help from their interlocutors instead of expecting their interlocutors to discern their current proficiency level and adjust the use of lexical and syntactic items accordingly. That is to say, L2 learners should

listen *actively* to obtain the information they need. In order to do that, elementary level learners need to use strategies to compensate for lack of lexical and syntactic knowledge. In the realm of second language acquisition, listening comprehension is an under-researched area. Therefore, more studies are necessary to explore L2 learners' strategies for dealing with difficulties in listening comprehension and to determine which strategies lead to successful communication.

### 2. Review of the literature

Studies have shown that skilled L2 listeners are able to use a variety of strategies to obtain information from their interlocutors. Vandergrift (2003) reported on skilled L2 listeners' significantly greater use of strategies than unskilled listeners. Strategies that skilled listeners adopted included comprehension monitoring and questioning elaboration. Skilled listeners were able to use their world knowledge and develop a conversation logically and comprehensibly, whereas less-skilled listeners had to rely on translations of words rather than developing a conversation. Vandergrift (2007) argues that low-skilled L2 listening strategies are limited to local level processing; thus, there is the urge to rely on translation. Furthermore, heavy reliance on bottom-up strategies prohibits unskilled listeners from access to contextual information (Liu, 2003). To facilitate the comprehension process, use of a cognitive strategy such as inferencing is necessary to deal with unknown words (Vandergrift, 2007). The ideal solution to enhance L2 learners' listening comprehension may be a combination of bottom-up skills, such as understanding individual words from a sound sequence, and top-down compensatory strategies like inferencing (Goh, 2000).

Farrell and Mallard (2006) investigated a variety of listening strategies used by L2 learners at different proficiency levels. They stressed the importance of using reception strategies, which are used to acquire new information and confirm and clarify old information. Such strategies include follow-up questions, uptaking (indicating comprehension of what has been said), confirmation requests and reprises at different discourse levels. The results of a study by Farrell and Mallard revealed that intermediate learners used reception strategies approximately three times more than lower proficiency level learners. Uptaking was the most frequently used strategy across proficiency levels.

In Japanese, one of the most important reception strategies may be *aizuchi* (backchannel responses). *Aizuchi* is an interjection to indicate that the hearer is involved with what the speaker has said up to that point in the conversation (Makino & Tsutsui 1995). One of the main functions of *aizuchi* is to facilitate a conversation. According to Mizutani (1983), *aizuchi* gives a "green light" to the interlocutor, thus encouraging him or her to continue talking. Maynard (1993) defined *aizuchi* as a continuer of a conversation. Thus, a high frequency of *aizuchi* can be interpreted as an indication of fluid conversation. In general, appropriate use of *aizuchi* is difficult for non-native speakers (hereinafter NNSs) to acquire (Mizutani 1984; Matsuda 1988), especially for native speakers of English. In English, backchannels function as "continuers", while backchannels in Japanese have multiple social functions such as expressing emotion or

attitude toward the interlocutor's statement (Richards, 1982). Such multiple functions of *aizuchi* are not easily acquired by L2 learners.

Nakai (2002) investigated the device used in opening and closing topics in Japanese face-to-face conversations. Five NS-NNS) dyads were used for analyses. She found NSs' *aizuchi* was often followed by a variety of other devices such as fragments, assessments, summary utterances and so on. On the other hand, NNSs' *aizuchi* was rarely accompanied by such devices. During follow-up interviews with NS participants, Nakai found that NNSs' lack of follow-up statements after *aizuchi* made NSs think their utterances were probably not understood by NNSs. Nakai therefore concluded that a listener's comment on an interlocutor's utterances would make conversation flow smoothly in Japanese. The results are indications of NNSs' lack of awareness concerning the listener's role in Japanese. L2 learners may not realize that listeners are expected to play a more active role not only by giving *aizuchi* but also by assessing what their interlocutor said.

Lack of active involvement by L2 learners during a conversation may become even more serious when no visual cues are available. Szatrowski (1993) investigated phone conversation between NSs, and reported that Japanese NSs took turns more frequently than L1 English speakers. Szatrowski's observation revealed that NSs used a variety of probing questions to infer the interlocutor's intentions, which would not be frequently observed in English conversations. In the situation where no visual cues are available, people may need to indicate their involvement in a conversation more than during a face-to-face conversation. More extensive scaffolding may be necessary in a phone conversation. To understand issues concerning L2 Japanese learners' performance during a phone conversation, other strategies besides *aizuchi* need to be examined. Studies that deal with L2 listening strategies are still scarce in the literature compared to strategies for other skills. Thus, strategies that lead to successful and unsuccessful elicitation of information need to be examined.

#### 3. Research questions

Given the unavailability of visual cues and expectations for listeners' active role, Japanese L2 learners are expected to encounter various types of communication breakdown during phone conversations. To investigate L2 learners' behavior under such circumstances, the following questions are raised:

1. What strategies do L2 Japanese learners employ during a phone conversation?

2. What strategies lead to successful or unsuccessful elicitation of information?

Uptaking was the most commonly used strategy in Farrell and Mallard (2006). However, whether or not uptaking reflects true understanding of what an interlocutor said is unclear in their study. This study intends to explore whether uptaking adequately accounts for learners' understanding.

# 4. Method

# 4-1 Participants

All participants were recruited on a volunteer basis. Three NNSs who were L1 speakers of English and three NSs agreed to participate in the project. NNSs were recruited from second year students of Japanese in a major mid-western university. At the time of participation, they had studied college-level Japanese for three semesters. None of them had study-abroad experience in Japan. NSs were students who had recently come to the U.S. and enrolled in an ESL class at the same university as the NNSs. None of them have teaching experience. Participants were paired into two female groups and one male group. None of the participants in either group knew each other when they had a conversation for this project.

#### 4-2 Materials

The current study employed phone conversation to force NNSs to communicate verbally. The researcher created a discussion prompt (see Appendix 1) that allowed to control the content and the number of questions NNSs asked based on an imaginary scenario in which NNSs wished to find a potential roommate. Most college students are familiar with such a situation, so conducting a phone conversation in the context seems quite plausible. Thus, seeking a roommate is an appropriate topic considering the NNSs' proficiency level of L2. NNS participants had learned basic Japanese structures by the time of their participation in this project, and it was expected that they should be able to handle the difficulty of the questions written on the task sheet. However, some advanced vocabulary words were purposefully inserted in order to monitor NNSs' performance when dealing with difficulties. All participants were required to carry on a conversation solely in Japanese. NNSs were encouraged to ask all 18 questions on the task sheet and write down as much information as they could. But they were allowed to skip a question and move on to the next if they wished. When a pair talked to each other, the researcher and the NNS stayed in an audio room for digital recording, while the NS was alone in a different room. NS participants were also given the task sheet, albeit one with answers already filled in by the researcher; they were asked to answer questions based on the information written there. Therefore, it was expected that, with the help of questions written on the task sheet, NSs would be able to interpret the meaning of erroneous questions asked by NNSs.

# 4-3 Procedures

Each NNS participant was asked to telephone a NS, ask the questions written on the task sheet, and fill in the sheet in English. NSs were unable to write down answers for NNSs as they might have in face-to-face conversation. Immediately after the phone conversation, NNS participants were interviewed by the researcher. They were asked to describe difficulties they encountered while engaging in a telephone conversation in Japanese, as well as how this experience differed from a face-to-face conversation. All interviews were conducted according to questionnaires (see Appendix 2); thus the interview was semi-structured. The above process took approximately 30 minutes.

# 5. Analysis

# 5-1 Question-Asking

After the researcher transcribed all recorded conversations, NNS participants' performance was divided into two phases: the question-asking phase and the information-elicitation phase. The data suggest that NNSs behavior when receiving information is closely tied to their performance in asking questions. When NNSs asked questions inappropriately, NSs had to make a great effort to help NNSs formulate the questions in a more comprehensible way. Coding was developed by the researcher based on the frequency of occurrence in data.

# 5-2 Information-elicitation

Codes used for this phase are modified versions of those employed by Farrell and Mallard (2006). Schemes used in Farrell and Mallard were designed to elucidate listening behaviors. However, modifications were necessary to capture the behaviors of participants of this study. First, some behaviors included in their study were never observed in this study. Second, more finely-grained categories were needed to better understand uptaking, the most frequently used strategy in their study and the present one. The codes are shown in Table 1. One of the main objectives of this study is to scrutinize uptaking behaviors. The information written on the answer sheet was designed to verify

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Strategy	Definition	Examples	
General uptake	Listener indicates he or she understands.	Soodesu ka (I see), hai (yes). Wakarimashita (I understand).	
Repetition	Listener indicates he or she understands specific part of NS's utterance	Repeat a part of what NS just said with falling intonation.	
Approval	Listener indicates NS's rephrase of erroneous NNS's utterance is correct.	hai (yes).	
Faking	Listener prompts speaker to continue although he or she has not understood previous utterance.	Soodesu ka (I see), hai (yes).	
Clarification Strategies (indication of non-understanding)			
Specific clarification	Listener confirms specific part of what was heard.	Repeat a part of what NS just said with rising intonation	
General clarification	Listener signals nonunderstanding without identifying specific problem or asks for repetition of speaker's utterance.	<i>Moo ichido itte kudasai</i> (please say that again)	

Table 1. Coding scheme for NNSs' reception strategies	
Uptake Strategies (indication of understanding)	

the quality of uptaking. If a NNS signaled uptaking but no answer was written on the answer sheet, it was considered faking. NNSs occasionally wrote incorrect information even when they indicated uptake. Such a case was considered as an error, not a fake. Frequency of occurrence during a phone conversation was tallied and divided according to the above coding scheme.

### 6. Results

# 6-1 Question-Asking

Table 2 shows the results of NNSs' use of question-asking strategies and their answers. NNSs sometimes used more than one strategy to obtain an answer.

	Table 2. Num	iber of question-ask	ing strategies	
Strategies		Learner A (female)	Learner B (male)	Learner C (female)
Asked correct questions		7	15	11
Asked partially incorrect questions		4	2	7
Did not ask	Skipped questions	4	1	0
	Answer provided by an interlocutor	3	0	0
Used English words		1	0	4
Rephrase (circumlocution)		2	1	1
Total		21	19	23

Table 2. Number of question-asking strategies

Table 5. INNOS answers on the task sheet			
NNS's answers	Learner A (female)	Learner B (male)	Learner C (female)
Wrote correct answers	7	10	13
Wrote partially correct answers	2	0	4
Wrote incorrect answers	1	6	0
Asked but did not write answer	1	1	1
Did not ask	7	1	0
Total number of questions	18	18	18

Table 3. NNSs' answers on the task sheet

They inserted English words occasionally and tried to rephrase their original utterances, so that the total number exceeds 18. Answers NNSs obtained are shown in Table 3. At a glance, learner C obtained answers most successfully despite committing grammatical errors in questions. Even though the number of instances of circumlocution is very low, all NNSs' use of circumlocution was effective. In the excerpt shown below, Learner C first said "utilities" in English, but later, she rephrased this by saying "things such as electricity". Learner C had not learned the passive form used in questions 5-7, but she was able to use a circumlocution by asking "Do I pay utilities?" and "Which rooms may I enter with you?" respectively, instead of using the passive

form. Other NNSs were unable to come up with circumlocutions when questions were written in the passive form.

NNS:	Utilities o haraimasu ka. Watashiwa ↑
	(Do I pay utilities?)
NS:	Util
NNS:	Utilities wa denki ya, ano
	(Utilities refer to things like electricity, ah)
NS:	aa
	(Oh)
NNS:	hi, hitto
	(he heat.)
NS:	aa hai, eeto, koonetsuhi wa harawanaidesukeredomo suido wa betsu
	desu.
	(Oh, yes. Well, we don't pay heating and electricity, but water is
	(billed) separately.

6-2 Information-elicitation

Table 4 indicates NNSs' reception strategies in their conversations. Quality of uptake accounts for Learner C's having performed better than the other learners. When Learner C was unable to comprehend what her interlocutor said, she either made general clarification requests or specific clarification requests by repeating what her interlocutor said in a rising tone of voice<sup>1</sup> more often than other learners did. Her frequent use of clarification requests might also have contributed to her superior performance in obtaining accurate information.

Strategy		Learner A (female)	Learner B (male)	Learner C (female)
General Uptaking	For correct understanding	7	9	12
	For incorrect understanding	4	5	0
Repetition		0	4	0
Approval		3	1	1
Faking		6	4	2
Specific clarification		1	2	5
General clarification		0	3	2
Total number of strategy use		21	28	22

Table 4. Number of NNSs' reception strategies

Learner B was also able to obtain information when he repeated what his NS interlocutor said, as shown below:

NS:	sono hito wa, juuni gatsu no juuroku nichi ni hikkoshimasu.
	(That person will move out on December 16 <sup>th</sup> .)
NNS:	a hai, hai, ji, a 12 gatsu
	(Oh yes, yes, Dec, oh, December)
NS:	juuroku nichi.
	(The 16th)
NNS:	<u>juu, go, nichi</u> ↑
	(The 15th?)
NS:	juuroku
	(16)
NNS:	<u>juuroku</u> , oh <u>roku</u> . hai hai hai.
	(16, oh, 6. Yes, yes, yes)

Another effective strategy was *approval*. All NNSs used *aizuchi* when their NS interlocutor rephrased what NNS was not able to phrase well. Such an example is shown below:

NNS:	hi to, nichi. Nannichi wa iidesu ka.
	(date and date. Good is what date?)
NS:	nannichi ga iidesu ka.
	(You mean, what date is good?)
NNS:	hai.
	(yes.)
NS:	Heya o miru no desu ka.
	(You mean, to see the room?)
NNS:	hai.

(yes.)

In the above conversation, Learner A used *aizuchi* to confirm what NS rephrased was right. With the use of *aizuchi* she was able to elicit scaffolding from her NS interlocutor.

For the most difficult questions, only Learner C requested clarification when she asked about utilities, and she was able to obtain part of the information she needed after the request. The common strategy Learners A and B utilized when dealing with difficulties was to indicate uptaking by saying "soo desu ka" (I see) even when their comprehension was inaccurate. The major function of *aizuchi* such as "soo desu ka" is to indicate speakers' understanding of the utterance and encourage the interlocutor to continue speaking (Maynard, 1993). However, those results indicate that Learners A and B might have used "soo desu ka" even when they were unsure about what their NS interlocutor said. Learner A used "soo desu ka" nine times during

her conversation, and she used six of them when her understanding was inaccurate. Learner B said "soo desu ka" 11 times during his conversation, and seven answers followed by "soo desu ka" were incorrect.

The number of instances of faking may reflect NNSs' willingness to deal with difficulties. Typically, faking occurred when NSs provided information that NNSs did not directly solicit. NSs sometimes provided additional information relevant to the questions written on the questionnaire and also provided answers before NNSs asked. However, NNS were unable to understand this type of information. They used back-channeling "*soo desu ka*" (I see) after receiving this type of information, and they moved on to the next topic instead of requesting clarification.

#### 6-3 Retrospective interviews with NNSs

All NNSs reported that they were nervous at first because some words used in questionnaire were unfamiliar to them. Lack of vocabulary was a major cause of anxiety and difficulty in their conversations. All of them mentioned that the largest difficulty they encountered during a conversation was when they saw that questions 5-7 were written in passive voice. Additionally, question 13, in which they were supposed to use an unfamiliar Japanese intransitive verb, caused some anxiety. Their primary concern was lack of vocabulary.

#### 7. Discussion

NNSs in the current study did not make clarification requests or confirmation checks when they had difficulties. They frequently indicated uptaking regardless of their level of understanding. Follow-up interviews revealed that NNSs' main concern was lack of vocabulary and their performance declined when they encountered unknown words or structures. This lends support to Vandergrift's study (2007) which argues that lower proficiency learners are unable to use cognitive strategies. They rely on bottom-up strategies instead. Nervousness and embarrassment partially account for reliance on easy but ineffective solutions, such as faking. After the interview, Learner A confessed that she was extremely nervous and embarrassed even though her NS interlocutor was very friendly. She even stopped asking questions during the conversation when what she was about to say was accurate. From a pedagogical point of view, it would be meaningful to encourage L2 learners to use a clarification request, or to simply repeat words they did not understand. Such strategies would probably prompt their interlocutors to elaborate on the particular word or phrase.

During observations, the researcher found that there was a long silence before uttering *aizuchi*. NNSs needed to write down large amounts of information on a task sheet, and this created many awkward moments. Since NSs could not see what NNSs were doing, NNSs should have used *aizuchi* before or while taking notes to indicate their involvement in the conversation, as Szatrowski (1993) suggested. It was also evident that assessment after *aizuchi* is lacking in NNSs' utterances. The results of this study confirm the result of Nakai's (2002) study. Nakai

suggested that a Japanese language instructor should teach learners how to give evaluative comments (such as "sounds interesting") or additional comments following *aizuchi*. The multiple functions of *aizuchi* may cause further difficulties. Apparently, NNSs in this study had only limited knowledge of these functions. One of the crucial functions of *aizuchi* is to indicate listeners' involvement in a conversation (Maynard, 1993). The NNSs in this study used *aizuchi* solely as an indication of uptaking. In fact, the NSs each commented that their respective NNS interlocutor's use of *aizuchi* was insufficient, despite the fact that NNSs used *aizuchi* more frequently than NSs did. Frequent use of *aizuchi* found in this study contradicts the common belief that NNS do not use it as much as they need.

During this pilot study, NNSs showed great difficulty comprehending NSs' utterances when these utterances were not directly related to the question on the task sheet, even if the information they were hearing was rather basic. This suggests that anticipation is an important factor to consider when seeking to enhance L2 learners' listening comprehension. Vandergrift (2003) suggests that making a prediction contributes to successful listening comprehension. Encouraging L2 learners to anticipate answers from their interlocutors is another pedagogical implication the current study suggests.

#### 8. Limitations and future directions

Due to the small number of participants, the findings of this study are insufficient grounds for making generalizations. It will be necessary to compare NNSs' performances during telephone conversations with their performances during face-to-face conversations with NSs to further elucidate the specific challenges NNSs encounter in the absence of nonverbal cues. The proficiency level of NNSs is another limitation. Talking with a stranger over the phone might be too challenging a task for NNSs who have only studied Japanese for three semesters in college. Additionally, the English grammar used on the task sheet might have posed unexpected problems. For instance, questions such as "Are utilities included?" and "Which space in the apartment is shared?" were written in the passive form, which NNSs had not yet learned in class. The task sheet should be written in a way that NNSs need not attempt to translate the entire sentence.

To better investigate L2 listening strategies during a phone conversation, there are multiple aspects of this study that should be improved. First, research should compare differences between a regular face-to-face conversation and a phone conversation. L2 learners' proficiency-level needs to be higher than that of the current study in order to ensure participants' task fulfillment. Instead of recruiting the same number of NSs and NNSs, it may be more appropriate to ask the same NS to talk with all NNSs to avoid individual differences in providing answers. The task sheet has much room for improvement. To discourage translation from English to Japanese, information should be given at word level rather than sentence level, preferably in Japanese. For instance, instead of asking "What does the house/apartment look like from the outside", a much simpler question such as "donna?" (What kind of?) that is

accompanied by pictures of houses in different shapes and colors can be used.

### 9. Summary

Lexical knowledge and the ability to use cognitive strategies such as clarification requests are crucial factors that contribute to successful L2 listening. For NNSs, lack of vocabulary was the largest negative factor during a conversation, and they occasionally signaled uptaking even when they did not understand the previous utterances. NNSs were able to use a limited number of effective strategies. *Aizuchi* (backchanneling) was effective to approve NSs' rephrasing of NNSs' ungrammatical utterances. To enable learners to use *aizuchi* appropriately, the quality of *aizuchi* needs to be enhanced: *aizuchi* should be used at an appropriate time to avoid awkward silence, and it needs to be followed by germane comments. More empirical research studies on L2 listeners' use of uptaking strategies are necessary to determine which strategies are effective or ineffective for each proficiency level.

#### Notes

<sup>1</sup> However, like other learners, Learner C was unable to elicit additional information which was not written on the questionnaire.

#### Appendix 1: Task sheet for NNS

You are looking for a room to rent. A friend of yours told you that there was a Japanese student who was looking for a native speaker of English (or fluent speaker of English) as a roommate. Since this is the only information you have, you decided to call him to find out information about the room, his lifestyle, etc.

1. His name is \_\_\_\_\_ (last name) \_\_\_\_\_ (first name).

2. Ask questions regarding the information shown below in Japanese. (You also learned that the Japanese student was <u>not comfortable with speaking in English</u>.)

3. Fill out the blanks <u>in English</u>. You are very welcome to ask questions not listed below.

# About the room

Q1. Rent.

Q2.Number of people who are sharing the unit.

Q3.Date you can move in.

Q4.Size of the room.

Q5.Is the room furnished?

Q6.Are utilities included?

Q7. Which space in the apartment is shared?

Q8.Is there on-site laundry?

Q9.Is there a parking space?

Q10.Is it on a bus route?

Q11.How long does it take to get to school?

Q12.Is there an internet connection? Cable TV?

Q13.What does the house/apartment look like from the outside?

Q14. What is located nearby? A grocery store?

Q15.Any rules she wants you to follow?

(your own questions)

# About himself/herself

Q16.Smoke?	
Q17.Own pet(s)?	
Q18.Invite friends frequently?	
(your own questions)	

Appendix 2: Questions for L2 learners and their answers

How did you feel at the beginning of this conversation? How do you feel now?

Did anything unexpected happen during the conversation? Do you recall what that unusual thing was?

Are there any moments you recall when tasks were particularly easy?

Are there any moments you recall when tasks were particularly difficult?

Do you remember any particular [vocabulary, grammar or mispronunciation] which caused

#### difficulty?

Did you discover any difference between the way Japanese people and American people speak in terms of style/ the way people carry a conversation?

Did you realize that your Japanese partner said *eeto, un, ano soodesu ne* frequently? What did you think about it?

How does this telephone conversation compare to a conversation with your Japanese instructor?

In order to communicate better in the future, what do you think you need to learn in class?

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