



HISTORY

9769/71

Paper 5j Special Subject: China under Mao Zedong, 1949–1976

May/June 2016

MARK SCHEME

Maximum Mark: 60

Published

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Special Subject: Source-based Question

These banding definitions address Assessment Objectives (AOs) 1, 2, 3 and 4, and should be used in conjunction with the indicative content mark schemes for each question. Information about AOs can be found in the 2016–18 Cambridge Pre-U History syllabus.

Introduction

- (a) This question is designed to test skills in the handling and evaluation of source material but it is axiomatic that answers should be informed by and firmly grounded in wider contextual knowledge.
- (b) Examiners will be aware that the topic on which this question has been based has been notified to candidates in advance who, therefore, have had the opportunity of studying, using and evaluating relevant documents.
- (c) The Band in which an answer is placed depends upon a range of criteria. As a result not all answers fall obviously into one particular Band. In such cases, a 'best-fit' approach will be adopted with any doubt erring on the side of generosity.
- (d) In marking an answer examiners will first place it in a Band and then fine-tune the mark in terms of how strongly/weakly the demands of the Band have been demonstrated.

Question (a)

Band 3: 8–10 marks

The answer will make full use of both documents and will be sharply aware of both similarities and differences. Real comparisons of themes and issues will be made across the documents rather than by separate treatment. There should be clear insights into how the documents corroborate each other or differ and possibly as to why. The answer should, where appropriate, demonstrate a strong sense of critical evaluation.

Band 2: 4–7 marks

The response will make good use of both documents and will pick up the main features of the focus of the argument (depending upon whether similarity or difference is asked) with some attention to the alternative. Direct comparison of content, themes and issues is to be expected although, at the lower end of the Band, there may be a tendency to treat the documents separately with most or all of the comparison and analysis being left to the end. Again, towards the lower end, there may be some paraphrasing. Clear explanation of how the documents agree or differ is to be expected but insights into why are less likely. A sound critical sense is to be expected especially at the upper end of the Band.

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Band 1: 1–3 marks

Treatment of the documents will be partial, certainly incomplete and possibly fragmentary. Only the most obvious differences/similarities will be detected and there will be a considerable imbalance (differences may be picked up but not similarities and vice versa). Little is to be expected by way of explanation of how the documents show differences/similarities, and the work will be characterised by largely uncritical paraphrasing.

Band 0: 0 marks

No evidence submitted or response does not address the question.

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Question (b)

Band 4: 16–20 marks

The answer will treat the documents as a set and will make very effective use of each although, depending upon the exact form of the question, not necessarily in the same detail. It will be clear that the demands of the question have been fully understood and the material will be handled confidently with strong sense of argument and analysis. Good use of supporting contextual knowledge will be demonstrated. The material deployed will be strong in both range and depth. Critical evaluation of the documents is to be expected. The argument will be well structured. Historical concepts and vocabulary will be fully understood. Where appropriate an understanding and evaluation of differing historical interpretations is to be expected.

Band 3: 11–15 marks

The answer will treat the documents as a set and make good use of them although, depending on the form of the question, not necessarily in equal detail. There may, however, be some omissions and gaps. A good understanding of the question will be demonstrated. There will be a good sense of argument and analysis within a secure and planned structure. Supporting use of contextual knowledge is to be expected and will be deployed in appropriate range and depth. Some clear signs of a critical sense will be on show although critical evaluation of the documents may not always be especially well developed and may be absent at the lower end of the Band. Where appropriate an understanding and evaluation of differing historical interpretations may be expected. The answer will demonstrate a good understanding of historical concepts and vocabulary.

Band 2: 6–10 marks

There will be some regard to the documents as a set and a fair coverage, although there will be gaps and one or two documents may be unaccountably neglected, or especially at the lower end of the Band, ignored altogether. The demands of the question will be understood at least in good part and an argument will be attempted. This may be undeveloped and/or insufficiently supported in places. Analysis will be at a modest level and narrative is likely to take over in places with a consequent lack of focus. Some of the work will not go beyond paraphrasing. Supporting contextual knowledge will be deployed but unevenly. Any critical sense will be limited; formal critical evaluation is rarely to be expected; use of historical concepts will be unsophisticated.

Band 1: 1–5 marks

The answer will treat the documents as a set only to a limited extent. Coverage will be very uneven; there will be considerable omissions with whole sections left unconsidered. Some understanding of the question will be demonstrated but any argument will be undeveloped and poorly supported. Analysis will appear rarely, narrative will predominate and focus will be very blurred. In large part the answer will depend upon unadorned paraphrasing. Critical sense and evaluation, even at an elementary level, is unlikely whilst understanding of historical concepts will be at a low level. The answer may be slight, fragmentary or even unfinished.

Band 0: 0 marks

No evidence submitted or response does not address the question.

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Special Subject: Essay Question

These banding definitions address Assessment Objectives (AOs) 1, 2 and 4, and should be used in conjunction with the indicative content mark schemes for each question. Information about AOs can be found in the 2016–18 Cambridge Pre-U History syllabus.

Introduction

- (a) The banding definitions which follow reflect, and should be interpreted within the context of, the following general statement:

Examiners will give their highest marks to candidates who show a ready understanding of the relevant material and a disciplined management of the discussion the question provokes. They will be impressed more by critical judgement, careful discrimination and imaginative handling than by a weight of facts. Credit will be given for evidence of a good historical intelligence and for good use of material rather than for a stereotyped rehearsal of memorised information.

- (b) Examiners will use these banding definitions in combination with the paper-specific mark schemes.
- (c) It goes without saying that any explanation or judgement is strengthened if informed by the use of source material.
- (d) Examiners will also bear in mind that analysis sufficient for a mark in the highest band may perfectly legitimately be deployed within a chronological framework. Candidates who eschew an explicitly analytical response may yet be able, by virtue of the very intelligence and pointedness of their selection of elements for a well-sustained and well-grounded account, to provide sufficient implicit analysis to justify a Band 4 mark.
- (e) The Band in which an essay is placed depends on a range of criteria. As a result, not all essays fall obviously into one particular Band. In such cases a 'best-fit' approach will be adopted with any doubt erring on the side of generosity.
- (f) In marking an essay, examiners will first place it in a Band and then fine-tune the mark in terms of how strongly/weakly the demands of the Band have been demonstrated.

Band 5: 25–30 marks

The answer will be sharply analytical in approach and strongly argued. It will show that the demands of the question have been fully understood and that a conscious and sustained attempt has been made to respond to them in appropriate range and depth. It will be coherent and structured with a clear sense of direction. The focus will be sharp and persistent. Some lack of balance, in that certain aspects are covered less fully or certain arguments deployed less strongly than others, need not preclude a mark in this Band. The material will be wide-ranging and handled with the utmost confidence and a high degree of maturity. Historical explanations will be invariably clear, sharp and well developed and historical concepts fully understood. Where appropriate there will be conscious and successful attempts to engage with the historiography, to evaluate source material critically and to demonstrate an awareness of competing interpretations.

Such answers may be expected, where appropriate, to make use of or refer to relevant primary sources. Nevertheless, where the answer is strong in all or most of the other criteria for this Band, limited or no use of such sources should not preclude it from being placed in this Band.

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Band 4: 19–24 marks

The answer will be characterised by an analytical and argued approach, although there may be the occasional passage which does not go beyond description or narrative. It will show that the demands of the question have been very well understood and that a determined attempt has been made to respond to them in appropriate range and depth. The essay will be coherent and clearly structured and its judgements will be effectively supported by accurate and relevant material. Some lack of rigour in the argument and occasional blurred focus may be allowed. Where appropriate there will be a conscious and largely successful attempt to engage with the historiography, to evaluate source material and to demonstrate an awareness of competing interpretations. The material will be wide-ranging, fully understood, confidently deployed and well controlled with high standards of accuracy. Historical explanations will be clear and well developed and there will be a sound understanding of historical concepts and vocabulary.

Such answers may be expected, where appropriate, to make use of or refer to at least some relevant primary sources. Nevertheless, where the answer is strong in all or most of the criteria for this Band, very limited or no use of these sources should not preclude it from being placed in this Band.

Band 3: 13–18 marks

The answer will attempt an analytical approach, although there will be passages which do not go beyond description or narrative. It will show that the demands of the question have been understood, at least in large part, and that a conscious attempt has been made to respond to them. There will be an effective focus on the terms of the question and, although in places this may break down, standards of relevance will be generally high. Although it may not be sustained throughout the answer, or always fully supported, there will be a recognisable sense of argument. The material will be clearly understood, with a good range, and organisation will be sound. There will be a conscious attempt to draw conclusions and form judgements and these will be adequately supported. Some understanding of differing and competing interpretations is to be expected and some evaluation of sources may be attempted but probably not in a very sophisticated form. Historical explanations and the use of historical concepts and vocabulary will be generally sound but some lack of understanding is to be expected. Use of English will be competent, clear and largely free of serious errors.

Use of or reference to relevant primary sources is a possibility. Candidates should be credited for having used such sources rather than penalised for not having done so.

Band 2: 7–12 marks

The answer may contain some analysis but descriptive or narrative material will predominate. The essay will show that the demands of the question have been understood, at least in good part, and that some attempt has been made to respond to them. It will be generally coherent with a fair sense of organisation. Focus on the exact terms of the question is likely to be uneven and there will be a measure of irrelevance. There will be some inaccuracies in knowledge, and the range may be limited with some gaps. Understanding of the material will be generally sound, although there will be some lack of tautness and precision. Explanations will be generally clear although not always convincing or well developed. Some attempt at argument is to be expected but it will lack sufficient support in places and sense of direction may not always be clear. There may be some awareness of differing interpretations and some attempt at evaluating source material but this is not generally to be expected at this level and such skills, where deployed, will be unsophisticated.

Use of or reference to relevant primary sources is unlikely at this level but credit should be given where it does appear.

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Band 1: 1–6 marks

The answers will respond in some measure to the demands of the question but will be very limited in meeting these. Analysis, if it appears at all, will be brief and undeveloped. If an argument is attempted it will be lacking in real coherence, sense of direction, support and rigour. Focus on the exact terms of the question is likely to be very uneven; the answer is likely to include unsupported generalisations, and there will be some vagueness and irrelevance. Historical knowledge, concepts and vocabulary will be insufficiently understood and there will be inaccuracies. Explanations may be attempted but will be halting and unclear. Where judgements are made they will be largely unsubstantiated whilst investigation of historical problems will be very elementary. Awareness of differing interpretations and the evaluation of sources are not to be expected. The answer may be fragmentary, slight and even unfinished. Use of or reference to relevant primary sources is highly unlikely at this level but credit should be given where it does appear.

Band 0: 0 marks

No evidence submitted or response does not address the question.

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Section A

- 1 (a) **How far does Document D corroborate Document C’s view of the Chinese Communists?** [10]

The answer should make full use of both documents and should be sharply aware of both similarities and differences. Real comparisons of themes and issues should be made across the documents rather than by separate treatment. Where appropriate, the answer should demonstrate a strong sense of critical evaluation and awareness of provenance by use, not only of the text but of headings and attributions.

Similarities Acheson’s view is that in comparison with the inadequacies of the KMT, the CCP offered effective and ruthless discipline and zeal. This zeal is also seen in D – ‘men who believed in something’ and were ‘dedicated to an ideal’. Both see the popular appeal of the Communists – C refers to their image as ‘guardians and liberators of the people’ and D to ‘a very attractive group’.

Differences D is more concerned to show the genuine ideology of the Communists as not being merely agrarian reformers but Marxists and quotes Chou to that effect. This element is not as evident in C with the stress not so much on a political ideology as the PLA having faith in itself and high morale. The issue of whether the CCP were ‘real’ communists is not considered by C.

Provenance Melby had actually visited Yen-an and had direct contact with the Communists, whereas C is reliant on reports. There is some reluctance, given the official opposition to Communism by this time, to admire them – they ‘attempted to sell themselves’ whereas the man on the spot is less reserved. C is from the actual Cold War period; D is a recollection from a time when animosity was less sharp.

- (b) **How convincing is the evidence provided by this set of documents for the view that purely military factors were the key to Communist success in 1949? In making your evaluation, you should refer to contextual knowledge as well as to all the documents in this set [A–E].** [20]

The answer should treat the documents as a set and make effective use of each although, depending on the exact form of the question, not necessarily in the same detail. It should be clear that the demands of the question have been fully understood and the material should be handled confidently and with a strong sense of argument and analysis. Good use of supporting contextual knowledge should be demonstrated. The material deployed should be strong both in range and depth. Critical evaluation of the documents is to be expected. The argument should be well constructed. Historical concepts and vocabulary should be fully understood. Where appropriate, an understanding and evaluation of different historical interpretations is to be expected.

C is clear that it was not necessarily lack of arms or ammunition or US supplied equipment that was key but rather a decay in leadership and a loss of the will to fight among the troops together with a loss of political support. It is not purely military factors but a loss of morale that is responsible in this analysis. This is not based on personal observation, but reports and reflects a well established loss of faith in Chiang by the US. Given the corruption of the regime and the poor treatment of its conscript forces, this is a view which could be defended, though it somewhat underplays the sheer military ability of the CCP, perhaps something that the US were unwilling to confront.

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D is also inclined to analyse the situation in terms of KMT corruption and to contrast dedication, ideology and incorruptibility of the CCP rather than purely military factors. Though Melby was a direct observer, he was a diplomat rather than a soldier. However, there is certainly contextual support for this, for example, by contrasting the different behaviour of the rival forces to the peasantry, one commandeering and the other anxious to be fair and to gain support.

A sets out Mao's view of the primacy of military power, though argues that it must be guided by political purpose. His view that 'all things grow out of the barrel of a gun' is dictated by the very strong opposition of KMT forces and the priority of the CCP maintaining itself by an effective army. The truth of this may be tested by looking at the effective guerrilla tactics and the successes against the KMT based on the careful husbanding of resources until the Red Army could achieve parity together with strong military leadership.

B indicates the importance of the army having links with the people and shows that it was not merely military power alone. The soldiers are shown cooperating with the peasants, paying their way, greeting them and the peasants are shown supporting the troops willingly, not through enforced conscription. This should be put into the context of a much more rapacious and oppressive policy followed by KMT forces in the countryside. The Reds achieved real links with the people in the soviets they set up. The source itself, too, shows that the CCP produced persuasive propaganda for an illiterate population.

E shows the CCP winning support from land reform which ran contrary to the view of Chou in D – this was not a Marxist policy but one which was vital to gain power and which links to B's evidence of the strong links between the army and the countryside. The peasants provided the armies with food and shelter and recruits and so concessions to them were as vital as purely military factors.

AO4 – write in a coherent, structured and effective way. The writing should show a sense both of organisation and direction, displaying clarity, balance and – especially in stronger candidates – fluency. Candidates will not be explicitly penalised for specific deficiencies in spelling, punctuation and grammar. However, the cumulative effect of substantial problems in this area will inevitably influence judgements concerning the overall clarity and effectiveness of the presentation.

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Section B

- 2 'Too tainted by violence and oppression to be beneficial to China.' Discuss this view of Communist policies between 1949 and 1956. [30]

Candidates should:

AO1 – present a response to the question which displays an accurate and relevant historical knowledge. A sharp focus on the demands of the question is required. No set response is to be expected. It is the quality of the argument and the evaluation that should be rewarded.

AO2 – be able to demonstrate an understanding and awareness of historical concepts, enabling them to present clear, focused and analytical explanations, which are capable of weighing up the relevant and relative factors and approaches and arriving at a well considered judgement. Attempts to deal with historiography and differing historical interpretations may well enhance answers, but are not required.

The issue here is whether the imposition of the one party state and the campaign against landlords in the countryside and class warfare were a necessary prelude to greater social justice and modernisation or whether repression and dictatorship permeated the regime and undermined the changes to the countryside and the industrialisation of the Five Year Plan (1953–1957). Despite initial caution and some attempt to win over a middle class alienated by the corruption of the previous regime, Mao relied heavily on military force with a military commander key in the regional command structure and with campaigns against Tibet, Xinjiang and Guangdong to establish control.

The 'anti' campaigns of 1951 against waste, corruption, inefficiency, industrial sabotage, tax evasion, corruption and 'theft of government property' involved quite a high level of accusation, repression and class warfare. The Soviet model of economic growth has to be seen against a background of economic underdevelopment, damage from war and rising population. Also the Agrarian reform of 1950 meant that land, animals and machinery were available for the peasantry and that has to be set against the brutality of the campaign against landlordism. The transformation of social life, for example, the marriage reform law, was of obvious benefit to women. Inflation was controlled and while the anti campaigns had a political purpose, they did act against corruption and against rural backwardness.

By 1953, with greater political control and an end to the Korean War, a more ambitious policy of transformation was attempted with the Five Year Plan. Based on the Stalinist model, this boosted heavy industry – coal, iron, steel, chemicals and oil production especially. There was impressive progress, but the pressure of meeting quotas, as with Stalin, led to increased party control, repression, identification and punishment of enemies, spies and saboteurs. Collectivisation also went back on the concessions to the peasants. Judgements might consider the very difficult situation that China faced in 1949 but look forward to the obvious discontents expressed in the Hundred Flowers 'feedback'.

AO3 – Candidates are not required to use and evaluate documents. However, such use and evaluation, where appropriate, could enhance responses. Where these skills occur they should be rewarded under AO2.

AO4 – write in a coherent, structured and effective way. The writing should show a sense both of organisation and direction, displaying clarity, balance and – especially in stronger candidates – fluency. Candidates will not be explicitly penalised for specific deficiencies in spelling, punctuation and grammar. However, the cumulative effect of substantial problems in this area will inevitably influence judgements concerning the overall clarity and effectiveness of the presentation.

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3 'Dictated more by ideology than by China's real economic needs.' Discuss this view of the Great Leap Forward. [30]

Candidates should:

AO1 – present a response to the question which displays an accurate and relevant historical knowledge. A sharp focus on the demands of the question is required. No set response is to be expected. It is the quality of the argument and the evaluation that should be rewarded.

AO2 – be able to demonstrate an understanding and awareness of historical concepts, enabling them to present clear, focused and analytical explanations, which are capable of weighing up the relevant and relative factors and approaches and arriving at a well considered judgement. Attempts to deal with historiography and differing historical interpretations may well enhance answers, but are not required.

The second Five Year Plan of 1958 to 1963 took place against a background of some disappointment with the results of the first and some economic concerns about the balance between industry and agriculture. The Stalinist model had not met China's economic needs. Politically, there was the need to distance China from Russian models and policies, and socially the desire to return to the peasant based ideology that had been a feature of Mao's brand of Marxism. The creation of the Communes offered a new social vision as well as purely economic progress and new opportunities for social engineering and control. The sheer scale with 700 million people placed in 26 700 communes was staggering. It put Mao in the forefront of Communist progress and had as its ideal the linking of agriculture and industry which had political/ideological motives as well as supposed economic benefits. However, the utilisation of China's vast human resources for infrastructure projects was a way forward for economic progress, though this too had ideological elements of binding people to the state.

AO3 – Candidates are not required to use and evaluate documents. However, such use and evaluation, where appropriate, could enhance responses. Where these skills occur they should be rewarded under AO2.

AO4 – write in a coherent, structured and effective way. The writing should show a sense both of organisation and direction, displaying clarity, balance and – especially in stronger candidates – fluency. Candidates will not be explicitly penalised for specific deficiencies in spelling, punctuation and grammar. However, the cumulative effect of substantial problems in this area will inevitably influence judgements concerning the overall clarity and effectiveness of the presentation.

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4 Why were border issues so important in Chinese foreign relations in the period 1949–1976? [30]

Candidates should:

AO1 – present a response to the question which displays an accurate and relevant historical knowledge. A sharp focus on the demands of the question is required. No set response is to be expected. It is the quality of the argument and the evaluation that should be rewarded.

AO2 – be able to demonstrate an understanding and awareness of historical concepts, enabling them to present clear, focused and analytical explanations, which are capable of weighing up the relevant and relative factors and approaches and arriving at a well considered judgement. Attempts to deal with historiography and differing historical interpretations may well enhance answers, but are not required.

Answers could consider the context of border issues with the USSR. Tension built up on the border of the USSR in the late 1960s and a dispute over Zhenbao on the Ussuri River led to war in 1969. Manchuria had been a historically contested region and a border clash in March 1969 escalated with the danger of full-scale war. A residue of Nationalists in Burma controlled a border area of 300 km by 100 km. In 1960, both Burma and China agreed to eradicate this pocket and fought a partially successful campaign which still left nationalist pockets.

The war between China and India in 1962 was partly over a disputed border in the Himalayas and partly over India giving refuge to the Dalai Lama after the 1959 Tibetan uprising. This undermined the warmer relations established by Nehru with the Chinese since 1954 and China began to find objections to previously accepted border agreements. It produced maps to show that Aksai Chin was Chinese. India's forward policy of establishing outposts beyond the frontier led to incidents. As India was hoping to get US sympathy and taking advantage of the USSR-China split, wider issues were at stake. Mao was eager to use the dispute to loosen ties between the USSR and India and used Khrushchev's preoccupation with the Cuban Missile Crisis. The crisis was tied up with prestige and border security but also with a desire to prevent a possible US-Indian-USSR encirclement.

AO3 – Candidates are not required to use and evaluate documents. However, such use and evaluation, where appropriate, could enhance responses. Where these skills occur they should be rewarded under AO2.

AO4 – write in a coherent, structured and effective way. The writing should show a sense both of organisation and direction, displaying clarity, balance and – especially in stronger candidates – fluency. Candidates will not be explicitly penalised for specific deficiencies in spelling, punctuation and grammar. However, the cumulative effect of substantial problems in this area will inevitably influence judgements concerning the overall clarity and effectiveness of the presentation.