



Cambridge Assessment International Education
Cambridge Pre-U Certificate

HISTORY

9769/71

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

May/June 2019

MARK SCHEME

Maximum Mark: 60

Published

This mark scheme is published as an aid to teachers and candidates, to indicate the requirements of the examination. It shows the basis on which Examiners were instructed to award marks. It does not indicate the details of the discussions that took place at an Examiners' meeting before marking began, which would have considered the acceptability of alternative answers.

Mark schemes should be read in conjunction with the question paper and the Principal Examiner Report for Teachers.

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This document consists of **14** printed pages.

Generic Marking Principles

These general marking principles must be applied by all examiners when marking candidate answers. They should be applied alongside the specific content of the mark scheme or generic level descriptors for a question. Each question paper and mark scheme will also comply with these marking principles.

GENERIC MARKING PRINCIPLE 1:

Marks must be awarded in line with:

- the specific content of the mark scheme or the generic level descriptors for the question
- the specific skills defined in the mark scheme or in the generic level descriptors for the question
- the standard of response required by a candidate as exemplified by the standardisation scripts.

GENERIC MARKING PRINCIPLE 2:

Marks awarded are always **whole marks** (not half marks, or other fractions).

GENERIC MARKING PRINCIPLE 3:

Marks must be awarded **positively**:

- marks are awarded for correct/valid answers, as defined in the mark scheme. However, credit is given for valid answers which go beyond the scope of the syllabus and mark scheme, referring to your Team Leader as appropriate
- marks are awarded when candidates clearly demonstrate what they know and can do
- marks are not deducted for errors
- marks are not deducted for omissions
- answers should only be judged on the quality of spelling, punctuation and grammar when these features are specifically assessed by the question as indicated by the mark scheme. The meaning, however, should be unambiguous.

GENERIC MARKING PRINCIPLE 4:

Rules must be applied consistently e.g. in situations where candidates have not followed instructions or in the application of generic level descriptors.

GENERIC MARKING PRINCIPLE 5:

Marks should be awarded using the full range of marks defined in the mark scheme for the question (however; the use of the full mark range may be limited according to the quality of the candidate responses seen).

GENERIC MARKING PRINCIPLE 6:

Marks awarded are based solely on the requirements as defined in the mark scheme. Marks should not be awarded with grade thresholds or grade descriptors in mind.

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.

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.

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.

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.

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.

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.

Section A

Question	Answer	Marks
1(a)	<p>To what extent does Document D challenge the evidence in Document A about the way the Communists treated the Chinese people?</p> <p><i>Similarities</i> Both documents show a concern for literacy: Document D in its desire for 'increasing literacy' and Document A by the Communist schoolmaster being anxious that his pupils learnt to read and write. Both documents are concerned with welfare: Document A speaks of the 'protection of the district', while Document D says that 'they had the welfare of the people at heart'. Children are important in both documents: one to ensure security and to control adults; the other to help to educate adults.</p> <p><i>Differences</i> Document A sees 'secret and evil' power whereas in Document D there is harmony and cooperation. Though Document A refers to literacy the main thrust is surveillance and control, whereas the thrust in Document D is on development and bringing the benefits of literacy to the people, particularly to women (though this could be to facilitate control and ensure that Communist propaganda and directives could be read). The brutality in Document A is not reflected in Document D.</p> <p>Neither of these sources is from either a Chinese communist or a Chinese opponent, and both are from foreign observers but with a different viewpoint and based on different experiences. Father Suigo may resent the loss of control over the young, and the very title suggests the view is that this is a personal dictatorship. Also written in 1953 in a Communist held area, the context may be one of greater suspicion and need for conformity as the chances of the Chinese Communist Party gaining power remained precarious. The other source, Document D, is obviously more favourable and is written in 1949 when the prospects of ongoing power were obviously greater, and the Communists were able to look to the future and to give more thought to developing the reforms in literacy and female emancipation. Neither gives a rounded picture.</p>	10

Question	Answer	Marks
1(b)	<p>How convincing is the evidence provided by this set of documents for the view that the Chinese Communist Party succeeded in securing power because it won the battle for the hearts and minds of the people? In making your evaluation you should refer to contextual knowledge, as well as to all the documents in this set (A-E).</p> <p>Document A could be used to show that the Chinese Communist Party (CCP) relied on surveillance and brutal and summary punishments of suspects – what Suigo calls ‘deeds of terror’. However, it could also be used to show the importance of education as the Communist schoolmaster is promoting literacy. It could also be argued that allocating young people this level of responsibility and giving them such important life or death decisions was to win over their hearts, but not the hearts of the whole population. This is only one district and the position of the CCP in 1945 should be taken into consideration, as should the nature of the source – a missionary not likely to be sympathetic. There are examples of brutality, but the overall context suggests a concern to win the support of the villagers which might bring the typicality of this into question. However, there is no doubt that, in general, the CCP did aim to win over and to use the energies of the young.</p> <p>Document B is clearly focused on winning over hearts and minds. Mao often drew on Chinese traditional sayings and tales to link the CCP with the past and to make the ideology more accessible. So hearts are appealed to by the folk tale and minds by the references to destroying ‘imperialism’ and ‘feudalism’, two ‘mountains’ which the mass of the people can abstract. Interestingly, to make this heartfelt ‘God’ is not denied. The thrust is cooperation between Party and People. Though this does not refer to violence – power and the barrel of the gun – which was the other major element, it is consistent with the CCP’s desire to win popular support in peasant areas, and to adapt Marxist theory to include the mass of the peasants. However, this is a part speech and it is at a time when popular support was particularly important.</p> <p>Document C suggests that the CCP had not necessarily gained support by winning hearts and minds, despite the skill of Mao’s propaganda and communication. The key element here is that faith in Jiang’s nationalist government has vanished leaving a sense of resignation that a Communist regime would just be better than the alternative – a mood of ‘helpless resignation’ seems to prevail. This is in 1949, after the steady erosion of Nationalist power, revelations of corruption, resentment at foreign influence and a great deal of effort on the CCPs path to present it as a reforming and national movement. It is also in southern China, whereas the key elements of Communist support have been in its northern strongholds. The more developed commercial cities like Shanghai and Canton may not have been typical and the CCP had been more successful in gaining positive support in the countryside. The observer did know China and his views coincide with other foreign observers who saw little future in Nationalist rule.</p>	20

Question	Answer	Marks
1(b)	<p>Document D shows a very positive attempt to win hearts and minds; it is endearing that the young have been enlisted in this attempt to offer literacy education through everyday objects and to help women. However, the subtext is ‘understanding the new ideas of the Communists’ so though aimed to win hearts, the key element may be to win minds as well, by ensuring that Communist propaganda is accessible and understood. Again, this is just one area, and from a foreign observer eager to show the impact of change at a time when the CCP was looking to long-term social development. The darker side is not represented here, nor is it apparent in Document E or Document B, that is what links the CCP with China’s national heritage (traditional costumes and dancing and the Guomindang leader and former president Sun Yat Sen, whose picture accompanies that of Mao). This is a way of winning hearts, still thought necessary in 1950, though the presence of so many Communist flags also sends a message that the new regime is well installed. Given the lukewarm support in Document D, there was a need for ongoing propaganda and the need to link Communism with Chinese national traditions. The consolidation of power was a lengthy process. Pictorial images and ceremonies were important given the low literacy levels that still existed. The thrust of Document E is typical, with Mao being seen in the line of emperors and with some affinity between the morality of Communism and that of Confucianism. Of course, the reality of brutal killings and arrests is not reflected here, nor the need to move away into more modern social and economic policies and the ending of many traditions and inequalities.</p>	

Section B

Question	Answer	Marks
2	<p>How successful were the Chinese Communist Party's modernisation drives in agriculture and industry by 1962?</p> <p>AO1/2 – Modernisation had both ideological and practical aspects. In order to justify its power and in line with the achievements in the USSR, heavy industry had to be developed to create a larger proletariat. The collectivisation of agriculture needed to be developed to end class distinctions. Military force based on more modern industry needed to be developed to defend the revolution. Practically, the effects of wartime destruction needed to be addressed, productivity raised, inflation controlled by improving the supply of food and industrial products, and more efficient working practices introduced. By 1952, the state owned 83 per cent of economic enterprise, and the redistribution of land and the encouragement of cooperatives or 'mutual aid' teams' produced greater price stability and both industrial and agriculture production, helped by a return to peace, had brought about a recovery. State control and wider landownership could be seen as 'modernisation', as could the Five-Year Plans which aimed to move from stability to higher levels of growth. The modern aspect was to shift China from its reliance on agriculture to higher levels of industry. Equipment and knowledge from the USSR were utilised and government control completed. Peasants were encouraged into larger cooperative units which by the mid-1950s dominated the sector with over 90 per cent of peasant farms in cooperative enterprises. There was a high growth rate of 19 per cent in heavy industry and national income grew by 9 per cent. Agricultural output grew but, with limited investment, lagged behind the growth of industry, despite valuable campaigns to improve hygiene and control pests.</p> <p>Therefore, in terms of outcome, the changes did bring more modern industry but were less successful in agricultural productivity despite some modernisation in organisation by 1958. The measures taken after 1958 were an attempt to 'modernise' but not in terms of a modern Western economy. The aim was to close the gap between agriculture and industry and to innovate by linking the two and creating a new type of society and economy. Judged by its own aims, the 'Great Leap Forward' did bring about considerable social and economic modernisation in the shape of large communes and integrating agriculture and industry. In terms of objective measurements, it brought about massive famines, loss of life and inefficient industrial production. A short-term rise in industrial output in 1958 was followed by years of failure, brought about by inefficient and wasteful planning and disruption of agriculture, and production of substandard industrial products.</p>	30

Question	Answer	Marks
3	<p>‘Any ideological successes of the Cultural Revolution were outweighed by the damage caused to the country.’ How far do you agree?</p> <p>AO1/2 – Ideological successes depend on an analysis of the ideological aims to reinvigorate the revolution and to end a drift towards ‘the capitalist road’ by the Party, therefore, reigniting the revolutionary enthusiasm of the period before 1949 and making Chinese rather than Russian Communism the beacon of the progress towards world Communism. The tactic was to use the idealism of the young to bring about the real social revolution that had not been possible earlier, ending the class distinctions that remained, ending the dead weight of tradition, and reducing the distinctions between an elite and the masses and town and country. The movement began in mid-1966 and the focus was an attack on the ‘four olds’: ideas, customs, habits and culture. By 1968, the situation had spiralled out of control and the Red Army had to restore order. The damage in terms of human life was considerable, with between 500 000 and two million deaths, mostly in the period of repression of the revolution itself. The damage to the cultural life of the country was huge, and the economy was severely disrupted by attacks on managers and skilled workers. There is an argument, however, that the reaction against the excesses brought about more fundamental change and ended the experimentation of the Great Leap Forward era, paving the way for the economic changes of the 1970s. In the short-term, however, education, technological research and development, and normal social life, were severely disrupted. China’s international reputation slumped - the extremism was criticised in Moscow - and there was internal Communist conflict. The damage in objective terms is indisputable, but did Mao achieve his aims, was there an intensification of revolutionary activity, a rebirth of youthful idealism, a restoration of the distinctive nature of the Chinese revolution, and an intense questioning of assumptions about success in achieving equality and a new society? Or, was there merely a period of pointless anarchy brought about by an ageing dictator to bolster a declining position?</p>	30

Question	Answer	Marks
4	<p>What best explains the changing relations between China and the USA, 1949–1976?</p> <p>AO1/2 – Though local diplomats and many in the state department had been critical of Jiang Jieshi, the Chinese Revolution came as a shock, especially in the context of poor relations with the USSR, and the USA's relations with the new regime were dominated by Containment ideology. US alliances with Japan, South Korea, and Taiwan which it recognised as 'China', aimed to restrict China's possible expansion. The SEATO and ANZUS pacts were also Containment measures. The war in Korea threatened to spill over into China and was a low point in relations. The failure to bring a final settlement after the war left Korea as a potential source of conflict, and US aid and support to both Korea and Taiwan made good relations difficult. The situation was made worse by the Vietnam conflicts. The USA tried to isolate China forbidding its citizens to travel there or to trade. US diplomatic efforts were focused on persuading allies or recipients of US aid to support the isolation. US diplomacy was also aimed to put a 'wedge' between the USSR and China. Therefore, it was a considerable change in policy for the USA and China to seek rapprochement in the 1970s; this can be explained by the wider context of the war in Vietnam becoming costly and unpopular, and undermining the whole anti-Communist policy in South Asia. If the US military could not defeat North Vietnam, then how effective would US power be in defending Taiwan? The Shanghai communiqué was a sign that the USA was taking a more realistic view, and that agreement with China was a safer option and allowed for withdrawal of US forces and military installations from Taiwan. China on its part was concerned with the rift with the USSR. The ending of the Cultural Revolution made a more realistic policy possible and Zhou Enlai saw the possibilities of better relations with the USA reducing pressure from Moscow. The realpolitik approach of Nixon and Kissinger recognised the practicalities of reducing defence commitments in a time of increasing economic pressure and put the importance of increasing the wedge between China and the USSR before ideology, and Nixon's visit to China marked a major change in attitude. Answers may put different emphases on the changing international context, the changes within China after the end of the Cultural Revolution, the political advantages for either country, and the personalities of the leaders.</p>	30