Example 1: To what extent were the first Five Year Plans of Stalin and Mao successfully implemented?

Examiner comments and marks

A Plan of the Investigation (2 marks)

To what extent were the first Five Year Plans of Stalin and Mao successfully implemented?

This investigation seeks to evaluate the comparative success of the first Five Year Plans of Stalin and Mao. The main body of this investigation outlines Stalin and Mao's particular aims, describes how these originated, and discusses the economic focuses of the plans. The successes and failures of each plan are then analysed, paying particular attention to their economic and political effects on the people of the USSR and China. Two of the sources used in this essay, Stalin: Breaker of Nations and The Rise of Modern China, are then evaluated in detail in terms of their origins, purpose, value and limitations.

B Summary of evidence (5 marks)

At the 1926 Party Congress Stalin emphasized that, in order to advance and modernize the state of the agrarian Soviet economy, and to bring it into line with the western economies a dramatic change, (what the Chinese would later call "a Great Leap") needed to occur. He realized that to achieve this the USSR would need to phase out Lenin's New Economic Policy. The first Five Year Plan (October 1928–December 1932) would be the beginning of the means to this end. It was formulated by the state planning authority, Gosplan. The main emphasis was placed on heavy industry. Sacrifices would need to be made because industrialization was to occur without foreign help. In reality the plan did not specify exactly how the economy was going to achieve all of these highly optimistic goals. During the first two or three years it appeared as if industrial output had increased and was achieving its targets. In reality it was not. Stalin decided that some means was needed to ensure that workers could not strike or slow down output. Between January 1931 and December 1932 legislation concerning labour discipline was implemented and imprisonment was enforced for violation of the labour codes. Pressure began mounting on production managers to meet the unattainable quota requirements. Stalin then reevaluated the Five Year Plan and raised the quota objectives to a new
optimal level. He received encouraging statistical feedback although the accuracy of these figures was questionable. After 1929 the agricultural sector was experiencing problems due to the process of collectivization. Some peasants were resisting the collectives and feared deportation. However many peasants enthusiastically adopted the collectivization programme. In 1933 a famine interrupted the plan and killed millions of people. The results of the plan were few: there were some short-term advantages, but many long-term disadvantages.

The first Five Year Plan implemented under Mao bore similar characteristics to that of Stalin. China had historically been xenophobic and it intended to move away from agrarianism towards industrialization. The main emphasis would be placed on heavy industry at the expense of light industry and this would be supported financially by the agricultural sector. The agricultural sector was not developed enough to sustain the industrial drive alone. Chinese hopes turned towards its fellow communist state, the USSR, for financial support. The announcement of the first Five Year Plan in 1952 was made at a time when the economy was heavily skewed towards agrarianism. The CCP had already accrued a $300 million debt from the USSR, which put the economy under great strain in the run up to the first Five Year Plan. The process of collectivization was begun by the implementation of the Agrarian Reform Law in 1950 which redistributed the land among the peasants. The results were probably not as forthcoming or as dramatic as those of the USSR had been although Chinese heavy industry did show some significant improvement. GNP also increased but again this was at the expense of agricultural output, social benefits and consumer industries. A UN survey of Asia and the Far East in 1960 was positive in regard to the Chinese economy. It concluded that gross industrial production was on the increase and agriculture was, reportedly, exceeding targets.

C Evaluation of sources (4 marks)

_Stalin, Breaker of Nations_ was published in 1991 and was written by Robert Conquest, a veteran of World War Two. Conquest is the author of eighteen other books and works as Senior Research Fellow at the Hoover Institution. His stated purpose for this book was “to give a portrait of Stalin and his nature” (Conquest xi), and “to use a good deal of fresh material not available to previous biographers” (Conquest xiii). China born Immanuel Hsu initially wrote _The Rise of Modern China_ in 1970. The latest edition was published in 1995 while Hsu was a professor at Santa Barbara University. Hsu was American educated and believes that the history of modern China must be written with a Chinese scholar’s insight and a foreign scholar’s objectivity (Hsu 15).
The value of these books would seem to be their recent dates of publication. Both were published after the break-up of the Soviet Union, which should make more information available to the writers. Their viewpoints have the advantage of time and hindsight and should be more balanced. The limitations however are that both sources have serious flaws which blur this objectivity.

Robert Conquest’s approach to Communism is epitomized by the titles of some of his books: *The Harvest of Sorrow; Common Sense about Russia; Civic and Despotic Cultures*. The title of this source, *Stalin: Breaker of Nations*, follows the same trend. Is it likely that this author will sympathetically, or objectively, deal with the issues? Even in the introduction Conquest sets the tone: “no other system has ever been so completely based on falsehood and delusion” (Conquest xv). In the same vein is, “We see a vast, dark figure looming over the century” (Conquest xv). When it comes to the first Five Year Plan, Conquest makes some generalizations such as: “Certainly not fewer than five million, and more probably at least seven million died of starvation” (Conquest 163). These figures are not substantiated by any other source and the origin of this information is not specified. Where did these figures come from? As regards the success or failure of the plan, in terms of economic changes, no information is forthcoming. Conquest spends much of the chapter recounting anecdotal details from individuals which, in themselves, are interesting, but add little to a serious historical study of the topic. The value of this information is questionable as it is so limited in scope. There is no mention of any positive outcomes of the first Five Year Plan. Conquest implies that every outcome was negative.

Immanuel Hsu, on the other hand, clearly substantiates his claims with statistical evidence on the effects of Mao’s Plan (Hsu 652–654). However on closer examination the statistics which are cited come from one book by Hughes and Luard which was published in 1962! How reliable are these figures? Who are Hughes and Luard? Why does Hsu use only one source? In all fairness Hsu does appear to be relatively objective in his evaluations of Mao and includes three or four Chinese government spokesmen in his section assessing Mao’s effects on China (Hsu 778–785). One must however conclude that Hsu’s analysis has limitations.

**D Analysis (5 marks)**

One of the major difficulties in making any objective analysis or assessment of Stalin and Mao’s first Five Year Plans is the reliability of the sources which are being used to make judgments of the plans’ respective successes or failures. Sources originating in either the USSR or the PRC may be subject to censorship or falsification for propaganda purposes (Mao’s claims for the Great Leap Forward). On the other hand sources
There is!

Some reference to wider historical context—could be developed further.

3-4 markband.
(Perhaps generous in view of the lack of references.)

originating in the West may also be skewed by pro or anti-communist sentiments and propaganda. It therefore becomes very difficult for anyone researching these topics to make valid and reliable judgments other than in very general terms.

There is no doubt that under Stalin’s first Five Year Plan, which replaced Lenin’s War Communism and NEP, the USSR transformed itself into a more modern industrial state. The methods by which this was achieved and the ruthless elimination of any kulak opposition mean that these industrial benefits must be counterbalanced against the devastating effects of the process of collectivization.

Following the victory in the Chinese Civil War, and the passing of the 1950 Agrarian Reform Law, the introduction of the first Five Year Plan transformed China from a semi-feudal agrarian state into a more industrially based modern nation. In both nations the changes were dramatic because the USSR and the PRC were starting from positions where, in relation to more industrialized nations, they were markedly inferior in terms of the economic structure of each country.

What is interesting to note is that, although Stalin and Mao were successful in general terms, their success was initially based on the elimination of any internal opposition that was perceived to stand in the way of creating a socialist state. The question that therefore must be asked after examining the examples of Stalin and Mao is: is the only way by which a nation state can transform its economic base quickly enough to achieve rapid economic growth, by acting to the detriment of a large segment of its population?

The answer would seem to be yes! In order to achieve dramatic change the traditional structure of the economic base needs to shift and it is unlikely that this will occur voluntarily. Those people who hold a comparative economic advantage in real terms in any society will have to give up their privileged position to ensure more equal benefits for all. If this is not done willingly, then the state will have to use force. To Mao this force was necessary for the creation of a socialist state along Marxist lines. For Stalin it was necessary for the establishment of an authoritarian and, soon to be, totalitarian state.

E Conclusion (2 marks)

The USSR’s first Five Year Plan was more successful in terms of industrial development. There was certainly improvement, but statistics do not tell us anything of the immense sacrifices that were made by the Soviet people during the implementation of the plan. It must also be remembered that the Soviet Union had been in existence for a decade before Stalin introduced his plan whereas the PRC had only been founded in October 1949. The PRC had inherited a diseased economy, did not possess the necessary means of production, and was exploited by the Soviet Union, but still made industrial progress. Historians tend to be more optimistic and positive as regards Mao’s Five
A. Plan of Investigation
How significant was King Henry VIII’s desire for a male heir in leading to England’s split from the Catholic Church and what was the lasting effect?

This investigation seeks to understand the importance of how King Henry VIII’s desire for a male heir set off the English Reformation and was the main cause of the split from the Catholic Church which led to religious instability in England until the reign of Elizabeth I. The main body will focus on historical background of England under King Henry VIII and the role of the Catholic Church during the time of his reign. It will also analyze the lasting effect that King Henry’s desire for a son had on England and the Catholic Church through the support and reference of *A World Lit Only By Fire* (William Manchester), *Importance and Legacy of King Henry VIII: Background*, and *The Heritage of World Civilizations* (Craig et al.).

B. Summary of Evidence
King Henry VIII was the second ruler of the newly established Tudor dynasty, and was extremely determined to continue the lineage through providing a male heir. During the earlier years of his reign, Henry was a staunch Catholic, having studied to become a priest before being crowned, and even described as “the answer to a Holy Father’s prayers.” His earlier training allowed Henry to quote Scripture in his defense of the Catholic Church against Martin Luther and his 95 Thesis in his “assetio septem sacramentorum contra M. Luther.” In return, the Catholic Church gave him the title “Defender of the Faith,” which has been added to the name of every English monarch since, to express his great loyalty to Catholicism. This clearly shows that a split from the Catholic Church was never even considered by Henry until later.

However, in 1527, after King Henry’s wife Queen Catherine of Aragon was unable to produce a male heir, Henry sent a divorce request to Pope Clement VII as he wished to find a new wife. During their unsuccessful eighteen year marriage, Queen Catherine was only able to produce a daughter, Mary Tudor. In order for a marriage to be dissolved, a flaw had to be found, and the obvious one in this contract was that Henry had married his brother’s widow, which was prohibited by the book of Leviticus in the Bible. However, Pope Clement VII was under great pressure of the Holy Roman Emperor Charles V who also happened to be the nephew of Queen Catherine. In his desire to protect his aunt from shame and humiliation as a divorcee, Charles

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1 Neil Hamilton, *Henry VIII*


4 William Manchester, 202.

5 Albert Craig et al., *The Heritage of World Civilizations*, 5th ed. (New Jersey: Prentice Hall 200). 463
a long period of stability to England. Without that one very important wish of King Henry VIII, England would not be were it is today.

F. List of Sources


bullied Pope Clement into rejecting a royal divorce. In 1533, Henry was tired of negotiating with Rome and following Thomas Cranmer’s suggestion married Anne Boleyn. In 1534 the Act of Supremacy passed by Parliament declared Henry, and all his successors, the head of the new Church of England and officially split the country from Rome. Through the Act of Supremacy and other Reformation legislation, the Parliament experienced a growth in power, reaching the governing role it plays today. This was a devastating event for the Church as it lost one of their biggest supporters. Ironically, though a new national church was established, virtually everything in the Anglican religion mimicked Catholicism, except that the king replaced the pope. In 1547 Edward VI, son of Jane Seymour and King Henry VIII, succeeded his father and approved scores of legislations to encourage Protestantism. In 1553 Queen Mary Tudor, daughter of Catherine, succeeded her father and led a bloody campaign to restore her country to Catholicism, but upon her step-sister being crowned Queen Elizabeth I, peace and Protestantism was restored to England.

C. Evaluation of Sources

_A World Lit Only by Fire_ is a historical book on the Renaissance and Late Medieval Ages written by William Manchester and published in 1992 in New York. For the purpose of this investigation, the facts were very in depth about King Henry VIII and his problem of wanting to continue the newly established Tudor dynasty. Written for a general audience, the information was very helpful for a peripheral view of the topic. This book was limiting however because it focused mostly on King Henry VIII’s interactions with Rome, and not so much on the lasting effects that England’s split had on the country._

_Importance and Legacy of King Henry VIII: Background_ is an article on King Henry VIII’s achievements taken from the online database ABC-CLIO. Targeting students, this article gives great background information on Henry VIII’s motivations, achievements, and downfalls. The information did not focus much on Henry’s relationship with Rome, but more on his overall reign as king, which was helpful because it balanced out the overwhelming information found in _A World Lit Only by Fire_ on the Catholic Church. This article was limiting though because it had only a small amount information on Henry VIII’s split from Catholicism, but it made up for that through the analyzation of information on the after-effects of his split and how his later years as king were effected.

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6 Manchester, 207.
7 Neil Hamilton, _Henry VIII_
8 Craig et al. 464
9 _Importance and Legacy of King Henry VIII: Background_
10 Craig et al. 464
11 Craig et al. 464
D. Analysis

King Henry VIII’s desire for a male heir began the English Reformation and was the primary factor in splitting England from Rome. In 1533, Henry officially split England from Catholicism, starting the Anglican Church, which opened England up for its own reformation. Because the king now decided that the people must convert to a new religion, other religious groups and ideas began to formulate and surface. This eventually led to Puritanism groups who wanted England’s new national religion to have a clearer difference between Anglicanism and Catholicism, as they were virtually the same, only the king was in the pope’s position. This also spurred on the birth of smaller religious denominations. From the creation of the Anglican Church, new Protestant sectors rose up to ignite the English Reformation and form the religious diversity of England. In addition, the Pope declared it illegal for Henry to divorce his wife because of political pressure and because it had lasted for so long---eighteen years. Because the Pope made it impossible for Henry to remarry in order to try and father a son, Henry formed his own church. It was only Henry’s desperate desire to leave a male heir to ensure stability in England, that caused the formation of the Anglican Church.

The English Reformation and England’s split from the Catholic Church led to many decades of religious instability and internal division, all because of King Henry VIII necessity to father a son. After King Henry’s death, his successors included Mary Tudor, Edward, and Elizabeth. Edward VI reigned for a brief period of time in which he strengthened Protestantism in England, but upon his death Bloody Mary took his place. For five years England launched a campaign to re-covert England to Catholicism, in which anyone who did not reconvert was sent to the stake, guillotine, or shot, including Thomas Cromwell, the man that had encouraged King Henry to split away from Catholicism. Finally, in 1558 after many decades of confusion and disunity, Queen Elizabeth I was crowned and brought peace, prosperity, and unity to a fragmented England.

Henry’s break away from Catholicism not only effected England, but the rest of the Christendom empire. When England left the Holy Roman Empire, Rome lost one of its biggest supporters, as the “Defender” totally separate himself from the religion and life style he had just supported ten years ago. Since the birth of the Anglican Church crushed support for Catholicism, it was one of the major factors that quickened the decline of the Church during the 16th century. In addition, with Henry making a huge deal that he was not allowed a divorce, he was unconsciously adding another distraction for the Catholic Church, which prevented them from stamping out the rise of Protestantism. Without King Henry’s wish for a son, the Holy Roman Empire might still have existed today.

E. Conclusion

If it had not been for King Henry VIII’s intense desire for a male heir, then England would not have experienced the split from the Catholic Church and the formation of the Anglican Church, and in turn not have went through those many years of chaos. The chain of events that shaped England’s history after 1533 all began with a wish for a son. From there, England split from Rome and formed the Anglican Church. Then, religious upheaval dominated the country until Queen Elizabeth succeeded her father Henry, brother Edward, and sister Mary Tudor and brought
A: Plan of Investigation

Question: To what extent did Luther and his ninety-five theses cause the permanent division within the Roman Catholic Church?

This investigation seeks to evaluate the impact of Luther's ninety-five theses on the European Reformation in the sixteenth century. The body of the investigation outlines the chain of events that happened as a result of Luther posting his ninety-five theses, paying special attention to the impact on the Roman Catholic Church. Two sources, William Manchester's book *A World Lit Only By Fire* and Luther's *Ninety-Five Theses* are carefully evaluated in terms of their origins, purpose, value, and limitations. The historical context and the lasting effect of Luther and his writing will be examined. Finally, the information will be summarized in the conclusion.

B: Summary of Evidence

At the turn of the sixteenth century, Germany was still plagued by internal disunity. Events happened locally and news traveled slowly. Over time, a nationwide hatred of the Roman Catholic Church and the sale of indulgences developed. In 1517, Martin Luther, an Augustinian monk in the Monastery of Wittenberg with a doctorate of theology, made a pilgrimage to Rome. Luther had passively supported the anti-indulgence mentality but had never experienced it firsthand. When he arrived in Rome, however, he saw the endless lines of people waiting in front of Saint Peter's in Rome (for the Jubilee Indulgence) to throw their coins into a bucket to buy indulgences, which were essentially pieces of paper that theoretically grant pardons. Only then did he realize the extreme papal corruption and that the real purpose of the indulgences was money in Pope Leo X's pocket. Luther believed in the justification by faith alone, not the perfect divine righteousness as illustrated by Erasmus, the Northern humanist preacher. Thus, indulgences directly contradicted Luther's religious beliefs. Right away, he returned to Wittenberg and posted a list of ninety-five complaints against the church, which he called his *Ninety-Five Theses*, on the castle door, as was tradition. In thesis 45, Luther explains, "Christians are to be taught that he who sees a man in need and passes him by, and gives his money for pardons, purchases not the indulgences of the pope, but the indignation of God." The theses became infamous overnight. Gutenberg's printing press expedited the flow of information. Luther published *Address to the Christian Nobility of the German Nation*, calling


2 Kagan, 455.


4 Luther, Martin. *Ninety-Five Theses* (Wittenberg, Germany: 1517), Thesis 45.
the German princes to force reform and economic independence on Rome. Next, he publishes *The Babylonian Captivity of the Church*, questioning the infallibility of the Church and attacking five of the seven sacraments. Finally, he expounded his theology in *Freedom of a Christian*, preaching that people do not need anybody or anything else to achieve salvation, particularly the papal bureaucracy or indulgences, only faith. He strongly believed that whether one is pope or peasant, one has the equal opportunity to go to heaven. Luther’s theology directly contradicted with the teachings of John Tetzel, the indulgence preacher employed by the Vatican.

Here the friendly warnings ended. The Church issued *Exsurge Domine*, giving Luther sixty days to recant. Luther, in turn, took the bull and burned it — another capital offense. *Decet Pontificem Romanum*, the final bull, was issued in 1521. Luther, however, was not immediately executed because the church coincidentally was busy with fighting off an impending Turkish invasion and the Habsburg-Valois wars, for which it needed German troops and thus the support of the German princes (who took Luther into hiding), and had its own election of Charles V as Holy Roman Emperor, supported by Frederick the Elector of Saxony. Luther was invited to Rome by the Vatican to discuss matters; of course, he recognized the trap. Charles V then summoned Luther to be tried before the Diet of Worms. Of course, he did not recant his philosophy. Charles spared his life, and Luther went into hiding for a year, where he translated the Bible into German. Meanwhile, the peasants misinterpreted Luther’s philosophy of the Christian Freedom and had the idea that they can improve their economic status. This religious message was a pretext for social revolution. Luther, however, sided with the nobility, who he asked to cruelly crush the revolt, for the peasant revolt directly contradicted his theology. Luther also wanted to keep the support of the nobility. Eventually, however, the church solved its war problems and Luther was captured and burned at the stake.

C: Evaluation of Sources

*A World Lit Only By Fire* is a book written in 1991 by William Manchester, Professor of History Emeritus at Wesleyan University in Connecticut, a modern day historian who has written 18 other books, mostly about Churchill and his time period. In terms of purpose, the book was written to provide an entertaining summary for the average reader. Manchester states that he wrote the book purely for personal pleasure. The general audience is entertained this way by the anecdotal writing style. The book is limited in scope, however; Manchester often gives interesting anecdotes, but they are sometimes off topic and mostly do not further develop his historical argument. Secondly, the book is limiting in its format: it has arbitrary breaks in the middle of the three large sections it is divided into that begin without preamble and end without conclusion. Clearly, the book has a negative bias: Manchester chose the argument that the Late Middle Ages were a time of waning, not waxing, in which not many positive things happened. Manchester’s point of view lacks the necessary eloquence; he is never quick-to-the-point. In

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5 Manchester, 166.

6 Manchester, 159.

7 Manchester, 164.
terms of value, the book provides entertaining information for the general audience. However, its scholarly contributions are not great. The document particularly informs the reader about the basic events of the Renaissance and many anecdotes that are related to this. The book argues that Luther was essentially the instigator of the Reformation in Germany.

The “Ninety-Five Theses” of Martin Luther, written in 1517 in Wittenberg, present-day Germany, were a list of complaints Luther had against the Catholic Church, especially criticizing the sale of indulgences. In terms of purpose, the theses were written after Luther went to Rome on a pilgrimage and was stunned seeing the lines of people outside of Saint Peter's Basilica waiting to buy indulgences; Luther understood that this money went straight into the pocket of the corrupt pope, Leo X, and had nothing to do with salvation for dead relatives. Luther wrote this for as many people he could reach, with the invention of the printing press – immediately, the people in Wittenberg and the German princes, who had his support. In terms of limitations, the document is written as a disorganized list. The theses are obviously biased against the Roman Catholic Church – towards the new Protestant religion. Luther’s point of view limits the document because it is so different than what the vast majority of the public was used to, and was considered offensive and heretical at first sight by many people. In terms of value, the theses provide a powerful image of the Church’s faults and society’s complaints and mindset. The document particularly lists complaints against the Church concerning the sale of indulgences. Luther’s point of view makes people realize the faults of the Church.

D: Analysis

Luther’s Theses culminated in the direct division within the Roman Catholic Church and the creation of a widespread Protestant movement that the Church officially recognized at the Peace of Augsburg in 1555. Luther’s theses were published at the correct time – the election of Charles V for Holy Roman Emperor, the impending invasion of the Turks, and the Habsburg-Valois Wars allowed the Reformation to spread its roots to the rest of (mostly Northern) Europe. Luther was thus able to reach many people and this led the Church to realize that the Protestant Religion existed; that it could not be eliminated; and that it would stay in Europe. The Church eventually abdicated in 1555 and signed the Peace of Augsburg, allowing Protestants to worship freely. This created a branch of the religion within the Religion.

Lutheranism glorified Jesus and the justification by faith alone but shed the cumbersome bureaucracy and the possibility for corruption. Luther believed that all people could be theologians; he preached that the pope is not necessary to interpret the religion for other people. Luther thus made Erasmus’s writings worthless, because people realized that they cannot follow Erasmus’s philosophy of perfection. This is where Luther missed his opportunity to unite Protestantism – he failed to reconcile with Zwingli, a puritan leader in Zurich, because of a minor dispute about the interpretation of the Eucharist. Because these forces did not unify against Catholicism, Protestantism became a fragmented movement that, although dominated central and northern Europe, became known for its internal disunity and conflict between religious sects. In 1555, the Church gave up the fight and signed the Peace of Augsburg, legally recognizing that the Protestant religion exists, that it will persist, and that nothing can be done to eliminate it on such a scale. While the Counter-Reformation was somewhat successful by winning back some converts, Luther had made a lasting impact by directly creating his own version of Catholicism for which he had many followers.
E: Conclusion

Luther essentially began the Reformation in Germany. Luther and his theses sparked a chain of events directly culminating in the Peace of Augsburg, officially causing a division within the Roman Catholic Church. The ninety-five theses specifically outlined the grievances against the church concerning indulgences and corruption. Spread quickly by the printing press, Luther reached many people and because the Holy Roman Empire was busy with other priorities, Luther was not immediately executed, the church's own mistake. The Church was in its own way the aggressor; the church caused conflict and Luther just called out the Vatican on it. Luther was the man who created a movement that divided the church forever.

F: List of Sources


Luther, Martin. Ninety-Five Theses (Wittenberg, Germany: Martin Luther, 1517).