

THE ROLE OF COMMUNITY PARTICIPATION IN MUNICIPAL BUDGETING IN
MAKHADO LOCAL MUNICIPALITY: A CASE STUDY OF VHEMBE DISTRICT
MUNICIPALITY

BY

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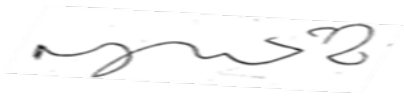
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DECLARATION

I, Nditsheni Calvin Muloiwa, declare that the dissertation titled **The Role of Community Participation In Municipal Budgeting In Makhado Local Municipality: A Case Study of Vhembe District Municipality** for the Master's degree at the University of Venda, hereby submitted by me, has never been submitted previously for any degree at this or another tertiary institution. I confirm that all the sources used or quoted have been indicated and acknowledged by means of complete references.



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Date : 15 February 2024

DEDICATION

I dedicate this study to the following people - the Muloiwa Family (my parents, Alpheus, Maria, and family members, Humbulani, Mukhethwa, Murendeni, Mohau, Surprise, Calvin and Lesedi); thank you for bringing joy into my heart at the time of my studies and even when my focus was shifted. To my grandmother, Lydia Aifheli Manenzhe, thank you for your countless occasions of encouragement and your confidence in me. May God bless you all.

Thank you Lord.

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LIST OF ACRONYMS

ANC	:	African National Congress
CBP	:	Community Based Planning
CDW	:	Community Development Workers
CDD	:	Community Driven Development
DPLG	:	Department of Provincial and Local Government
LGNF	:	Local government negotiating forum
MFMA	:	Municipal Financial Management Act
MLM	:	Makhado Local Municipality
MSA	:	Municipal Structures Act
NGO	:	Non-government organisation
NDP	:	National Development Plan
SALGA	:	South African Local Government Act
SANCO	:	South African National Service Organisation
SDBIP	:	Service Delivery Budget Implementation Plan
SERVQUAL	:	Service Quality Model
TACC	:	Treatment Action Campaign
UK	:	United Kingdom
USA	:	United States of America

ABSTRACT

This study examines the role of community participation in the municipal budgeting process, at Makhado Local Municipality, Vhembe in Limpopo Province, South Africa. The government has legislated various legislative frameworks that encourage communities' involvement in local government affairs. The Municipal System Act, 32 of 2000 outlines the role of community participation in municipal planning as one of the significant roles of the municipal council. Local government legislations are emphatic on the significant role played by local communities in the decision-making processes of municipalities in South Africa. The challenge is that ineffective community participation in municipality budgetary processes continues despite regulatory policy frameworks in place. Decision-making and implementation taken during budgetary processes are left to the discretion of individual municipalities. This results in service delivery protests as the municipality's priorities are not in line with the community's needs and demands. The literature review reveals that most of the service delivery protests that occurred at Makhado Local Municipality were attributed to ineffective community participation in matters that affected them. This study adopted the mixed research methodology for data collection, using both the quantitative and qualitative methodologies. The target population was the municipal officials, councillors, traditional leaders and the local community members within the selected Makhado Local Municipality villages. The findings of the study reveal that community participation in budgetary processes remains a challenge for the Makhado Local Municipality, hence poor service delivery. This study concludes by recommending strategies to improve community participation in budgetary processes.

Keywords: *Budget, community participation, municipality, participatory budgeting; integrated development.*

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CHAPTER ONE

INTRODUCTION AND BACKGROUND OF THE STUDY

1.1 INTRODUCTION

According to Masiya, Mazenda and Gwabeni (2021), “community participation currently forms an important element of the South African government’s policy on integrated development planning in local government. Section 152 (1) (e) of the *Constitution of the Republic, 1996, Act 108* (hereafter referred to as the Constitution of the Republic) requires that local governments in South Africa be developmental states. The Constitution of the Republic outlines some of the objects of local government such as providing democratic and accountable government for local communities, ensuring the provision of services to communities in a sustainable manner as well as encouraging the involvement of communities and community organisations in matters of local government. The aforementioned objects secure the position of local government as central to the people, as it is the government closest to its people. Furthermore, Section 153 (a) prescribes the developmental duties of municipalities, in that they must structure and manage their administration, budgeting and planning processes to give priority to the basic needs of the community, and to promote social and economic development of the communities. In this manner, municipalities are expected, by the government, to strive within its financial and administrative means to realise the stated objectives” (Constitution of the Republic of South Africa 1996).

Houston, Liebenberg, Humphrey and Dichaba (2001) maintain that “since the advent of democracy, the South African government has witnessed the rising of participatory democracy in a form of community participation in all facets of governance, such as policy formulation and implementation”. One of the policies that is instrumental in achieving the developmental mandate of the local government, is the budgetary process. Financial resources are required to fund goods and services, to the community”. Schaeffer and Yilmaz (2008) assert that local municipal budgeting is not just a statement of government finances, but it is the link between the mobilised funds and the attainment of government

goals and objectives. The aforementioned statement is evidence that community participation is needed to strengthen local government budgeting and accountability. Franklin and Ebdon (2004), however, maintain that empirical literature on community participation in budgetary process is limited and not extensive enough. The Makhado Local Municipality (MLM), like its counterparts, experience challenges when it comes to comprehensive community participation in its budgetary processes to the detriment of effective and efficient resource allocation.

This study, therefore, attempts to examine the role of community participation in municipal budgeting at Makhado Local Municipality and to recommend strategies to improve the involvement of community participation in its budgetary processes.

1.2 BACKGROUND OF THE STUDY

According to Williams (2006), most of the population in South Africa had no political rights until 1994; the situation demonstrated the total absence of participation of any sort. Instead, the method of government was highly centralized, deeply authoritarian, secretive, and bureaucratic with a top-down approach; this ensured that fundamental public services were not accessible to black people. Apartheid South Africa revolved around racial definitions that, although awkward, are difficult to avoid when discussing the historical background on the role of community participation in local municipal budgeting during the apartheid era". Apart from distinguishing between white people and others, those who were not white were legally differentiated as black (African), coloured (mixed race) and Indians.

The first democratic election in South Africa in April 1994 brought about a new chapter in the history of South Africa; it allowed the previously excluded 80% of the population to vote for the first time. In the democratic dispensation of 1994 onwards, the government show has shown its commitment to change, by introducing various legislations and policies to deepen participatory democracy through the encouragement of community participation in municipalities' affairs. The African National Congress (ANC) Manifesto,

and the Reconstruction and Development Programme (RDP) policy assert that democracy must be a people-driven process. The government must harness the energies of its people to achieve quality socio-economic development and the involvement of people in matters that affect them is one of the essential tools to meet people's needs. People are expected to shape their future; the RDP Manifesto further indicates that development is not about the delivery of goods and services to a passive citizenry, instead, development should be achieved by active citizenry who hold the government accountable for such development (RDP, 1994).

Bheki and Jerome (2015) argue that in 1996, the Constitution of the Republic ensured that the devolution of powers to the local authorities is key to encouraging community participation, accessing service and ensuring accountability by the relevant authorities. In service delivery, municipalities are the government structures closest to the people and they are expected to provide an array of services and goods to the communities". The provision of quality goods and services requires the allocation of funds based on financial resources, which, according to the Constitution of the Republic of South Africa (1996), must be managed effectively and efficiently. The Constitution of the Republic entrenches co-operative governance, obliging the three spheres of government to cooperate and to negotiate political and budgeting issues between themselves; and very importantly, to bring about a framework that encourages community participation in the decision-making levels of government, including participation in the budgeting processes in the local spheres of government.

One of the serious challenges that faced the new government was the need to reprioritize existing budget resources and service delivery from tertiary services meant for white middle-class people in cities to primary services for low-income black people in rural areas. This meant that changes to the entire budgetary system had to be transformed by the ideals of a democratic dispensation. The new government formulated and passed various legislations to ensure the devolution of powers to the local authorities (Bheki and Jerome, 2015). Kraai, *et al.*, (2022) indicate that the introduction of legislations aimed at enhancing participatory democracy which involves citizens in matters that affect them,

shows the high level of commitment by the government to deepen participatory democracy. Community participation is also a strategy to curb corruption while ensuring access to service and accountability, by the relevant authorities in service delivery.

Netswera and Kgalane (2014) argue that there are grounds for tracing service delivery protests back to the apartheid era as these protests came as a result of exclusion from service-delivery decisions. South Africa has experienced a movement of local protests, demonstrating rebellion by the poor, the unemployed and the youth who had joined hands with political organisations and labour movements. These protests have been about poor service delivery and against the self-serving, corruption and non-involvement of communities in the decision-making processes of the government and local authorities. Nzimakwe and Ntshakala (2015) assert that the Constitution of the Republic, “entrenches co-operative governance, obliging the three spheres of government to cooperate and to negotiate political and budgeting issues between themselves. The framework emphasises community participation in the decision-making levels of government, including participation in the budgeting processes in the local spheres of government”.

1.3 PROBLEM STATEMENT

Local government service delivery challenges during apartheid were due to the separate development policies and laws and as a result, violent protests often erupted (Williams, 2006; Netswera and Kgalane, 2014; Nembambula, 2015 & Ngwenya, 2015). During the apartheid period, local governments, where they existed, were characterised by or lack of proper community representation and the non-existence of democratic systems. Netswera and Kgalane (2014) note that the Constitution of the Republic laid the groundwork for more transparent decisions and decision-making processes in government; the democratisation of the political processes necessitated greater transparency and participation. Without the full participation of its communities, a government is unable to fulfil its mandate as the people’s elected representative. It is, therefore, in the interest of both municipalities and marginalised populations to facilitate the political participation of the latter.

According to Thornhill and Madumo (2011), budgeting is a process that promotes coordinated planning and management of policies; this process produces an “Integrated Development Plan”. Makorere (2012) notes that, despite the ending of the apartheid era, distrust of local government institutions by local communities still exists. This is indicated by negative reports of distrust and negative publication of local governments’ inefficiencies and corruption which still exist despite the continuous revisions of the existing legislations. There are a lot of unanswered questions as to whether budgets are still considered the exclusive preserve of the central or national government and if the budget processes remain closed to external participation by the local community forums.

Lack of community participation in municipal budgeting process is one of the major shortcomings across South African municipalities. Considering the lack of community participation in the municipal budgeting process, in most Local Municipalities, it seems that lack of necessary information, knowledge, expertise, and capacity are the major obstacles which lead to the minimum participation by community members in the budgeting process. Findings from Molaba (2016) revealed that government departments and municipal structures fail to encourage community participation in government budgeting. This is because in most cases, the programmes for community development are identified by the government and not by the communities themselves. Communities, hence, are just involved at the implementation level, so most of the programmes fail as municipal officials do not meet the communities’ real expectations and needs. This study, therefore, investigated the role of community participation in municipal budgeting, in Makhado Local Municipality.

1.4 AIM OF STUDY

This study aimed to evaluate the role of community participation in the municipal budgeting process of the Makhado Local Municipality, in an attempt to pinpoint challenges and recommend possible solutions.

1.5 OBJECTIVES OF STUDY

To achieve the aim of this study, the researcher set out to realise the following objectives:

- To understand the state of community participation in the budgetary processes at Makhado Local Municipality.
- To examine and explore the relationship between community participation and municipal budgeting process at Makhado Local Municipality.
- To determine the challenges regarding community participation in the municipal budgeting process of Makhado Local Municipality.
- To suggest strategies to enhance community participation in the Makhado Local Municipality's budgeting process.

1.6 RESEARCH QUESTIONS

- What is the state of community participation in Makhado Local Municipality?
- Is there any relationship between community participation and municipal budgeting in Makhado Local Municipality?
- What are the challenges regarding community participation in the municipal budgeting of Makhado Local Municipality?
- What are the possible solutions to these identified challenges in Makhado Local Municipality?

1.7 SIGNIFICANCE OF STUDY

This study will encourage community participation at the municipal level and provide detailed information on the role of community participation in the budgeting process of local municipalities. It will also aid in dissipating the current misunderstanding and confusion by community members and certain municipal officials on the role of community participation in the budgeting processes particularly, in the Makhado Local Municipality.

The research will guide municipalities in making good policies on budgeting process and community participation, as well as assist in improving policy implementation, encourage

transparency, ensure constructive engagement and involvement of communities in the functions and activities of Makhado Local Municipality.

Lastly, the research will also assist and guide the officials of Makhado Local Municipality on how to facilitate ongoing dialogue between local communities and their elected representatives by creating institutional spaces and opportunities where all stakeholders can contribute towards meaningful interaction in the municipal budgeting process, which hopefully, will result in improved service delivery. The research will also extend the existing literature on the role of community participation in municipal budgeting processes, and as such contribute to research work on the topic.

1.8 DELIMITATION OF STUDY

The focus of this study was on the role of community participation in the Makhado Local Municipality, Vhembe District in the Province of Limpopo. The Makhado Local Municipality is largely rural, so the research results may not be applicable to metropolitan municipalities. For this study, wards were purposefully selected from Makhado Local Municipality, and the respondents were limited to selected officials, wards' committees and various civic organizations within the Municipality. The findings can however be applicable to other municipalities due to similarities or related challenges.

1.9 DEFINITIONS OF OPERATIONAL CONCEPTS

The terms listed below are defined in order to clarify the scope of this research.

1.9.1 Community

The term 'community' is used in different ways and at different levels within a given locality, a social unit or a defined territory. Jones and Wells (2007) explain 'community' as a shared locality with homogenous interests while Aref (2011) also point out that the common components of a community are its area, common ties, and social interaction. Communities are often concerned with the protection of their shared identities, interests,

places, and attachments, within their geographical areas, to ensure their continual survival in the face of socioeconomic and demographic change. In the context of this study, communities are citizens within the jurisdiction of Makhado Local Municipality.

1.9.2 Community Participation

The National Policy Framework for Public Participation (2005: 2) defines 'community participation', as "an open, accountable process through which individuals and groups within selected communities can exchange views and influence decision-making". Callahan (2007) defines the term as participation in the planning and administrative processes of government by the local citizens within that particular municipality. Community participation is the interaction between communities and their municipal government that focuses on policy issues and service delivery. The Department of Co-operative Governance and Traditional Affairs (2007) asserts that community participation is a democratic process of engaging people, deciding, planning, and playing an active part in the development and operation of services that affect their lives.

1.9.3 Participatory budgeting

Matsiliza (2012) refers to participatory budgeting as a process in which a wide range of stakeholders debate, analyse, prioritise, and monitor decisions about public expenditures and investments. These are consultative processes in which communities are directly involved in making policy decisions, spurring administrative reform, and distributing public resources to low-income neighbourhoods. It is a process whereby communities work together with elected representatives (councillors) and officials to develop policies and budgets to meet the needs of the local community.

1.9.4 Integrated Development Plan

Integrated development planning (IDP) is a process through which municipalities prepare a strategic development plan which extends over five years. It refers to a framework guiding the activities of agencies from other spheres of government, corporate service

providers, non-government organizations (NGOs) and the private sector within a municipal area (Malefane & Mashakoe, 2008). The IDP is a product of planning processes which are driven by officials and councillors, and members of the community, therefore, it is a broad plan for an area that gives an overall framework for development. In the context of this study, IDP refers to the plan which the Makhado Local Municipality puts in place, to be followed in addressing the communities' problems (Policy Paper on Integrated Development Planning, Republic of South Africa, 2000).

1.9.5 Municipality

The Municipal Systems Act (32 of 2000), defines a 'municipality' as comprising of political and administrative structures, as well as the community. The Municipal Demarcation Act (Act 27 of 1998), states that a municipality is an organ of the state within the local sphere of government, exercising legislative and executive authority within the vicinity determined by the Act.

1.9.6 ORGANISATION OF THE STUDY

The research is divided into five chapters, which are as follows:

Chapter 1: Introduction and background of the study. In this chapter was discussed the introduction, background of the study, problem statement, aim of the study, objectives of the study, research questions, significance of the study, preliminary literature review, the definition of operational concepts, and organisation of the study.

Chapter 2: Literature review: The chapter is presented an overview of - the theoretical framework, themes, models, legislative frameworks on the role of community participation in municipal budgeting, a comparative analysis of community participation in other countries, advantages and disadvantages of community participation, the right of communities in participation processes within the local municipality.

Chapter 3: Research methodology: Chapter 3 will detail the research design and methodology that the researcher will follow when conducting research, the study area, the population of the study, sampling, sampling method, sampling size, data collection, pilot study, data analysis, and ethical considerations which will be adhered to.

Chapter 4: Data presentation, analysis, and interpretation: Chapter four will present the data collected through questionnaires and interviews. The discussions will also dwell on the analysis and interpretation of the collected data by detailing the sampled respondents as a way of providing a background to the research and the data. The findings will be on the role of community participation in the local Municipality's budgeting, as a strategy for ensuring effective service, local municipality's accountability, monitoring and evaluation of service delivery.

Chapter 5: Findings, recommendations, and conclusions: This Chapter will discuss the findings, limitations, recommendations and conclusions, on the role of community participation in the budgeting processes in Makhado Local Municipal and future research-related subjects.

1.10 SUMMARY

The chapter discussed the introduction, background of the study, problem statement, aim of the study, justification of the study, objectives and questions of the study, delimitation, definition of operational concepts and organisation of the study.

CHAPTER TWO

LITERATURE REVIEW

2.1 INTRODUCTION

The previous chapter provided background information on the research topic, definitions of terms, aim of the study, objective of the study, statement of the problem, research question, area of the research and scope of the study. According to Kruman (2011), a literature review is a process of searching the existing literature relating to a research problem to develop a theoretical and conceptual framework regarding the phenomenon of this study. A review, therefore, enables a researcher to integrate the findings with information already existing in the literature. This chapter provides an in-depth insight into the role of community participation in municipal budgeting concerning Makhado Local Municipality. The theoretical framework and legislations underpinning the importance of community participation in municipals' budgetary processes were identified and discussed. Concepts were analysed to determine the factors promoting an effective community budgeting process.

2.2 CONCEPTUALISING COMMUNITY PARTICIPATION AND BUDGET PROCESSES IN LOCAL MUNICIPALITIES

The apartheid era has hurt South African municipal services and budgeting processes because during that period community participation in the budgeting process was unknown. Prior to 1994, there were no provisions for local community members' involvement or engagement, in the budgeting processes of programs that affect them. This section, therefore, contextualises the role of community participation in strengthening the municipal budgetary processes.

2.2.1 Community Participation

Caterino and Hansen (2019) has indicated that participation in decision-making is a part or a product of democracy; democracy in this context, is seen as a work in progress. The understanding of what democracy is by different stakeholders has evolved. Langa and Jerome (2004) indicate that community participation in governmental decision-making is considered an essential part of the very definition of democracy. In South Africa, the new era of democracy, in 1994, recognised local communities' participation as legal a requirement or prerequisite for governmental decision-making, as practised in most of the Western world. Participation is a process through which all members of a community or organisation are involved and have influence on decisions related to development activities that affect them.

According to Mafunisa and Xaba (2008), the Draft National Framework on Public Participation defines community participation as an open, accountable process through which individuals and groups within selected communities can exchange views and influence the decision-making processes. It is further explicated as a democratic process of engaging, deciding and planning with people. In this manner, people can play an active role in the development and operation of services that affect their lives. Community participation is one of the mechanisms that foster government accountability, open communication, transparency and accessibility at all times. Kraai, Ndevu and Matsiliza (2023) argue that “deliberative democracy theory incorporates rationality, public reason and justification, public participation, and a supporting public sector”. This implies that in democratic theory, community participation encourages municipalities to align their programmes with community needs, build public support through public reasoning and justification and inspire a sense of cohesiveness within the society. In this manner, community participation is considered to have a direct impact on policy formulation and implementation.

Van Rooyen (2003) maintains that community participation refers to an interactive process of informing and consulting with communities, taking part in the planning and decision-making of the municipal plan and budgeting to reach a common goal, as well as

a process of comprehensive engagement, as divergent opinion, needs and expectations, normally, exist in any situation. Madzivhandila and Maloka (2014) describe that community participation is a prerequisite for successful governance and service delivery in the local sphere of government. The role of community participation in the local municipalities post-apartheid South Africa has become visible in that it democratises municipal services, thereby giving them greater control to determine their developmental needs. The participation paved the way for the engagement, facilitation and inclusion of the local communities, making it possible for them to have a say in the businesses of the local government.

2.2.2 Participatory Budgeting Processes

The budget is an essential policy document illustrating how an organisation will prioritise and achieve its political and developmental outcomes. A budget serves as the government's primary instrument for implementing its policies and programmes, including fiscal policy, thereby, showing factors influencing the economy as a whole. A municipal budget is a document that deals with allocating funds and is generated during the planning phase by the local authority or any other entity. Van der Waldt (2007) explains that a budget is a fundamental plan specifying how objectives set in the plan will be achieved. In this manner, the municipal budget is part of the planning process that is undertaken on an annual basis and includes planning based on the IDP, implementation of the budget and performance management.

2.2.3 Municipal Budget

Theron and Cloete (2014) contend that every municipal council in South Africa is required to appropriate funds to achieve the developmental mandate through its budget. Various local municipalities convene meetings with stakeholders throughout the year so that communities have the opportunity to participate in budgeting. During these sessions, stakeholders can prioritise broad social policies that affect the members of the community and monitor public spending. In the budgeting process, discussions and debates can take

place on what the needs and priorities are, then decisions are taken on how the local municipality funds should be allocated. Even after the budget's passing and the fiscal year's commencement, the participatory meetings continue to oversee or evaluate the ongoing implementation processes and the impact of the decisions on the allocated budget. Michels and De Graaf (2010) argue that the recognition of this broader concept of local municipal governance is critical in developing a framework for local governance which is responsive; delivering services that are consistent with the community's preferences; being responsible and doing the right thing, the right way; working better but costing less and benchmarking with the best; being accountable to local community members, through a rights-based approach. Such requirements are essential as the current roles of local municipalities contrast sharply with their traditional ones. This implies that participatory budgeting is a process in which people from all levels, within the Makhado Local Municipality should be consulted and represented in decision-making that affects budgeting.

2.2.4 Integrated Development Plan (IDP)

Thornhill and Madumo (2011) indicate that an integrated Development Plan (IDP) is a mechanism that involves the entire municipal community in finding the best possible solutions to achieve long-term development goals through municipal strategic planning. The authors further argue that an IDP assist the local municipalities, amongst other things, to safeguard and promote the effective use of scarce resources within the municipalities; to speed up service delivery; to attract additional revenue, donations and additional funding; to strengthen democracy, transparency and accountability; to overcome the legacy of apartheid and to promote co-ordination among local, provincial and national governmental institutions. This implies that budgeting processes must conform with IDP as all planning of municipalities is integrated in this plan. Each programme on IDP is allocated resources on how to achieve it, therefore budgeting process should be responsive to IDP requirements.

2.3 THEORETICAL FRAMEWORK

This section deals with the theoretical framework which explores the dilemmas associated with communities' participation in local municipalities. A theory, according to Van der Walldt (2017), is a systematic and formalised expression of previous observations and is predictable, logical and can be tested, its basic functions are to describe, predict, or control phenomena in many situations. It further reflects and makes a comparative analysis of the various models on participation and interactions between municipalities and local communities. Community participation and budgetary processes are two interrelated concepts that work together to achieve a desired output. The following theories, namely, the democratic view and principal-agent are essential in explaining the relationship between community participation and the budgetary processes:

2.3.1 Democratic theory

This theory is often associated with a form of government which is organised in line with the principle of popular consultation and majoritarian. Democratic theories deal with the models and approaches that influence the desired role of community participation in the budgeting process of local municipalities. The approach is regarded as representative and has been defended by political theorists as the “most realistic option for modern democracies (Michels & de Graaf, 2010). Furthermore, the authors maintain that participation has several functions; first the ‘educative function where communities may increase their civic skills and become more competent if they participate in decision-making. A second function is the ‘integrative function’ where people feel part of their communities, consequently, they may also feel more responsible, personally for decisions. The third function is a greater ‘legitimacy of decisions’ where decision-making is preceded by information sharing, robust engagement and consultative processes. Legitimacy is one of the most contested features of local community participation, which typically focuses on the adequacy of participation or representation, the technical or political workability of the decisions and outcomes and the procedural fairness of the process.

Netswera and Kgalane (2014) add that during the apartheid era, there were no democratically elected structures to represent the local communities, but affluent white municipalities represented the wishes of the minority. These affluent white municipalities were used to enforce or promote spatial separation or segregation. Apartheid policies aimed at limiting the extent to which the established white municipalities would bear the financial burden of servicing black local communities. Without the full participation of its communities, a government is unable to fulfil its mandate as the people's elected representative. It is, therefore, in the interests of both municipalities and marginalised populations to facilitate participation by all stakeholders. Legitimacy is the extent to which participants and other key actors support the procedures and its outcomes. Accordingly, in this study, the assertion is made that "all Makhado local communities should have the right to participate in all decisions that affect them".

2.3.1.1 Rationale for Democratic Theory

Direct democracy suggests that communities are the owners of government and should therefore be involved in its decisions; promotes a sense of community and common bonds that transcend individual interests; involves and engages communities to make participatory decision-making possible. In the context of this study, democratic theory is a key factor as it allows community participation in matters that affect them, therefore, governance is a collaboration between the community, community organisations and the municipality.

2.3.2 Principal Agent Theory (PAT)

The principal-agent theory is realised when the community and municipality enter into a contract through election. The Municipality is given authority by the community to act on its behalf. The community is the principal, whereas the municipality is the agent; that means the incumbent political party after the election, acts as an agent while the voters are principals. Local municipalities as delivering services and change-agents for communities in post-apartheid South Africa represent a fundamental or significant shift in the division of powers from higher to local governments. The result of this is that local municipalities and local communities became independent agents who decided and

facilitated service delivery mandates to the local communities; providers of local services gatekeepers and overseers of state and national governments for shared rules and responsibilities delegated to them (Quick & Feldman, 2011).

According to Prabhakaran, Nair, and Ramachandran (2014), the South African National Government saw the municipalities as the main delivery agent for the government's ambitious development programs through which local government could facilitate the involvement of local communities in the decision-making and budgeting process. Due to the envisaged new developments, the national government was assigned by the legislation, as in charge of matters that relate to, national security, foreign relations, education and interstate affairs. With functions such as harmonisation and consensus on local matters, the municipalities emerged as independent facilitators for the creation of community values. Municipalities need to find the right balance between service delivery and participation, therefore, Makhado Local Municipality needs to develop a democratic system which facilitates and promotes interaction and communication with residents, to allow for meaningful participation in activities, such as planning, budgeting, implementing specific projects, and community campaigns. This will also ensure equal distribution of political power when communities participate in local municipality institutions.

Williams (2006) reflects on the RSA Constitution, where the role of local communities is viewed primarily as a check on political leaders. In this context, the Constitution does not identify clear measurements for the success and failure of community participation in development planning at the grassroots level. The implementation of community participation, therefore, constitutes a veritable problem when planning with bureaucratic institutions that hail from the oppressive and exclusionary relations of power, such as those in the apartheid era.

2.3.2.1 Rationale for PAT Theory

The rationale for the theory is that a well-designed or structured community participation within a given a local municipality, can support a more equitable distribution of limited resources, create resources for future relevant developments and their implementation to

address new public issues. This can be done by enhancing trust and legitimacy, building relationships between government and community-based structures, and generating knowledge and interest about policy issues and processes.

2.4 LEGISLATIONS GUIDING COMMUNITY PARTICIPATION AND BUDGETARY PROCESSES

This section deals with the legislations that guide the participation of the community in municipal financial management. South Africa, from the dawn of democracy, has developed comprehensive legislation to enforce the implementation of the ideals of the new dispensations as follows:

2.4.1 Constitution of the Republic of South Africa, 1996

The Constitution of the Republic of South Africa, 1996 emphasises that local government is a distinct sphere of government, although, interdependent and interrelated with the national and provincial spheres. Municipalities have the right to govern, on their own initiative, the local affairs of their community, subject to national and provincial legislation. They are required to give priority to the basic needs of the community, promote the social and economic development of the community, and participate in national and provincial development programmes. This mandate places local government at the centre of building local environments in which communities can develop (Constitution of the Republic, 1996). Local governments, therefore, can only rise to the challenge of reversing the legacy of the past, and constructing sustainable living environments for the future, if municipalities are financially and institutionally empowered. Participatory democracy is enshrined in the Constitution of the Republic, hence, it compels municipalities to encourage the participatory processes, particularly in budgeting when allocating resources. Thornhill and Cloete (2014) add that community participation in IDP strengthens democracy.

2.4.2 Local Government: Municipal Systems Act

Section 16(1)(a) of the Local Government Municipal Systems Act (herein referred to as Act 32 of 2000) states that a municipality is required to develop a culture of municipal governance that complements formal representative government with a system of participatory democracy. To this end, the Makhado Local Municipality should encourage and create conditions for the local community to participate in the affairs of the municipality. Chapter 5 of Act 32 of 2000, requires specifically that community members of Makhado Local Municipality should participate in the preparation, implementation, and review of the Integrated Development Plan (IDP). In terms of Section 17(2) of the MSA community members with special needs, such as the disabled, women and the youth, should be allowed to participate meaningfully in the IDP process.

2.4.3 Local Government: Municipal Structures Act

Section 19(2) of Local Government: Municipal Structure Act (herein referred to as Act 117 of 1998), states that the Municipal Council must annually review the needs of the community; its priorities to meet those needs; its processes for involving the community; and its organizational and delivery mechanisms for meeting the needs of the communities. The Makhado Local Municipality Council, hence, is required to review IDP targets and priorities annually in consultation with community members or their representatives and other stakeholders and to involve community members to develop mechanisms on how to implement the IDP. Section 19 of the Local Government: Municipal Structure Act, requires all the municipalities to develop systems that enhance effective community participation in local government and that ward committees should be established to strengthen community members' participation at local government level. According to the National Policy Framework for Public Participation in Local Government, the purpose of a ward committee is to promote participatory democracy by assisting communities and community organizations in the municipal processes, such as municipal budget, integrated development planning and review process, municipal performance management system, by-laws, and provision of municipal services. According to Sub-section 3 of the Municipal Structure Act, (Act 117 of 1998), the Makhado Municipal

Council “should develop mechanisms to consult the community and community organizations in performing its functions and exercising its powers”. Section 72 (3) of the Municipal Structures Act (Act 117 of 1998) further stipulates the enhancement of participatory democracy in local government by ward committees.

2.4.4 Local Government: Municipal Finance Management Act

In local government, financial and budgeting processes are guided by the Municipal Finance Management Act (MFMA) (herein referred to as Act 53 of 2003). Municipal financial management involves managing a range of interrelated components: planning and budgeting, revenue, cash and expenditure management, procurement, asset management, reporting and oversight. Each component contributes to ensuring that expenditure is developmental, effective and efficient and that municipalities can be held accountable. The reforms introduced by the MFMA are the cornerstone of the broader reform package for local government outlined in the 1998 White Paper on Local Government. The MFMA, together with the Municipal Structures Act (Act,117 of 1998), the Municipal Systems Act (32 of 2000), the Municipal Property Rates Act (2004) and the Municipal Fiscal Powers and Functions Act (2007), set out frameworks and key requirements for municipal operations, planning, budgeting, governance and accountability.

The Municipal Finance Management Act (Act 53 of 20023), (MFMA) covers the municipals’ sources of revenue, budget, debts, financial reporting requirements, financial misconducts, and the responsibilities of councillors and mayors. The MFMA, regulates the dates and the responsible persons, and the action required to speed up the municipal budgeting processes. Section 52 empowers the mayor to provide political guidance over the municipality’s financial affairs, including the reviewing and coordinating of the IDP process, while managing and overseeing the responsibilities of the Municipal Accounting officers and the chief financial officers, but, without interfering in their responsibilities.

The role of the Local Municipality Council is to enforce laws and make strategic policy decisions, while the Council is also required by the Act to engage with the local community about the required quality and standard of service delivery.

2.4.6 National Development Plan, 2012

The National Development Plan (NDP) is supposed to lead to Vision 2030; one of its objectives is the elimination of poverty and reduction of inequality through local communities being active in their development. NDP is a document whose objective is to strengthen democracy in all levels of the government's spheres. NDP relies on the initiatives of the people to deal with the challenges facing the government. Citizens are expected to have a voice in matters that affect them so that they will be able to hold the government accountable. One mechanism to realize the key pillars of NDP is the introduction of the Medium Term Expenditure Framework (MTEF) to achieve short-term goals, through the IDP (National Development Plan, 2012). The MTEF, based on IDP to involve communities in the planning and implementation of the budget. In this manner, the Makhado Local Municipality is also expected to involve its community members, from the onset, in the development and implementation phases of the Integrated Development Plan.

2.4.7 National Policy Framework for Public Participation

The National Policy Framework for Public Participation of 2007 builds on the commitment of the government to enforce democracy, as embedded in the Constitution and in the concept of local government as comprising the municipality and the community. In line with this policy framework, the Makhado Local Municipality must be committed to a form of participation which is genuinely empowering, and not a mere token consultation or manipulation of inputs. Participation in Makhado Local Municipality should involve a range of activities, such as; creating democratic representative structures (ward committees), assisting structures to plan at the community level (community-based planning), implementing and monitoring plans using a range of community-based working groups, supporting community-based services, and to support these local structures through a

cadre of community-development workers (National Policy Framework for Public Participation, 2007).

2.4.8 White Paper on the Transformation of Public Service Delivery of 1997

The White Paper on the Transformation of Public Service Delivery of 1997 outlined the Batho Pele principles to ensure good governance for community participation as indicated below:

2.4.8.1 Batho Pele Principles

A new policy framework called *Batho Pele* principles was developed and adopted to enhance the quality and accessibility of government services by improving efficiency and accountability to the recipients of public goods and services. The *Batho Pele* is a Sotho expression meaning 'People First'. This was to be realised through engagement and formalised participation programs, promotion of accountability, ethics, and democratic values. The Batho Pele principles promote the efficient, economic, and effective use of public resources in response to or in addressing community needs. The principles require that eight service delivery mandates be implemented as follows:

Consultation: According to Du Toit, Knipe, Van Niekerk, van der Walt and Doyle (2001), citizens need to be consulted through surveys, questionnaires, meetings, suggestion boxes and *imbizo*, so that they know what to expect from the municipalities that serve them. Consultation is also referred to as 'regulatory processes', hence, municipalities must invite communities' responses and consider them before making a decision. Consultation between local municipalities and stakeholders must embrace the true spirit of partnership and co-operation.

Service Standards: The local communities will always expect quality service that meets their expectation, therefore, community engagement or participation provides an opportunity for the local communities to voice-out their expectations and choose the services they require. This also extends to the level and quality of the services they expect

to receive. The municipalities together with their communities must set the required standards of services and be able to measure them to ascertain if they are being met. These standards should apply to service standards for existing and new services.

Access: The local municipality should try by all means to remove all barriers that may hinder the communities from accessing service delivery; these include - communication barriers, cultural diversity, physical impediments and political differences. Communities, thus, should have their fair share of all services. Municipal authorities will have to involve the local communities in planning and setting targets for IDP programmes, while also extending access to services. Municipalities should implement special programmes for improved service delivery to physically, socially and culturally disadvantaged persons.

2.4.9 Traditional Leadership and Governance Framework Act

The Traditional Leadership and Governance Framework Act (herein referred to as Act 41 of 2003), stipulate that traditional leaders are required to be part of the democratic leadership and governance structures in the local government sphere. In this co-operative relationship, traditional leaders facilitate community participation in policy and service delivery decisions that affect communities. Participatory measures should include notifying members of local communities in good time about meetings, through appropriate communicative measures. Traditional leaders are expected to facilitate local community participation, especially in policy and service delivery decisions that affect rural communities. The government has established the House of Traditional Leaders as a government communication platform and since they also get salaries from the government this also serves as an incentive for them to implement government mandates (Rasila & Mudau 2013).

Section 211 (1) of the Constitution of the Republic of South Africa, 1996, recognises the institution of traditional leadership, hence, where applicable, municipalities should include the traditional council as a key structure and traditional leaders as a key stakeholder group in community consultation processes. Nekhavhambe (2014) identified the challenges

faced by both the traditional leaders and local municipalities. One such challenge was the fact that the local municipalities are the result of a democratically elected institution that has legitimate powers to handle issues of service delivery while traditional leaders' responsibilities relate to issues of tradition and customs. Traditional leadership, despite its non-democratic nature, constitutes an important constituency and a key interest group in many areas, especially around development and service delivery issues, therefore, traditional leaders can participate in local government through their traditional authorities.

2.5 PERSPECTIVE OF MUNICIPAL BUDGETING PROCESSES AND COMMUNITY PARTICIPATION

Section 153 of the Constitution of the Republic maintains that municipalities must organise their administrative, budgeting, and planning processes to give priority to the basic needs of the community and promote the social and economic development of the community. Section 152 (2) of the Constitution of the Republic, municipalities are allowed to strive within their financial and administrative capacity to fulfil the mandate of a developmental local government (Constitution of the Republic, 1996). Budgeting is described as an integral part of management control systems that aims at promoting coordination and communication among subunits within the company, providing a framework for judging performance and motivating managers and other employees. A budget, if created and used properly, can provide valuable information about the direction, resources and expectations of an organisation. In organizations, budgets have multiple uses, such as for planning, forecasting, controlling, coordinating, communicating, instructing, authorizing, motivating, delegating, educating, evaluating performance, facilitating decision-making and managing subordinates (Fourie & Opperman, 2015).

Thornhill and Cloete (2014) asserts that for every municipal council, for each financial year, money is provided through its budget. Section 21 of the MFMA states that the mayor of the municipality must co-ordinate the process for preparing and reviewing the annual budget. Municipalities' IDP must table the budget together with related policies to ensure that they are mutually consistent and credible. The mayor should table in the

municipal council, a schedule outlining key deadlines for the preparation, tabling and approval of the annual budget. At least ten (10) months before the start of the budget year. In addition, Michels (2012)) states that the policy-making process weighs and balances public values. A municipality is expected to develop a Medium-Term Budget (MTB) policy statement as an initial process of a rolling three-year budget. The MTB in municipalities, thus, become a base for annual budget projections, which is the first step in the wider budgetary process, and focuses on transparency, output-driven programmes and prioritization of socio-economic policies. Stakeholders provide valuable contributions to planning and decision-making processes, as well as generate and implement innovations.

2.5.1 Community Participation in Budgetary Processes

Ward committees are community-based advisory committees with the ward councillor as chairperson. Given the challenges of service delivery, considerable emphasis has been placed on ward committees as mechanisms to facilitate community participation in all processes of municipal planning including budgeting. According to Nzimakwe and Reddy (2008), a ward committee is one form of participatory structure contained in the local government's Municipal Structures Act. Only metropolitan and local municipalities established as Category A may establish such committees. In the case of other municipalities, such as those in categories B and C, there can be both sub-councils and ward committees. The object of a ward committee, therefore, is to ensure that participatory democracy is enhanced at the local government level. Committees are established by rules made by the council and are designed to help achieve developmental goals. As partners in participatory democracy, ward committees are a creation of legislation and are obligated to be active partners in local government functioning in policy-making and implementation. Munzhedzi (2020) postulates that the ward committees assist in engaging community members in municipal affairs. They can facilitate dialogues between communities and municipalities in municipal planning, needs identification and decision-making processes. Ward committees, hence, are representative structures of the local communities and liaise with municipalities on

aspirations and problems of the people. According to the Makhado IDP (2021/ 2022), ward committees in local municipality assist in:

- Ensuring transparency, accountability, and appropriate lines of responsibility in the fiscal and financial affairs of municipalities and municipal entities.
- The management of revenues, expenditures, assets and liabilities and the handling of financial dealings, budgetary and financial planning processes.
- The coordination of those processes with those of the other spheres of government borrowing, has a say in supply chain management and other related financial matters.

2.6 SOURCES OF MUNICIPAL BUDGET

Municipality has two sources of income which forms basis of municipal financial management as follows:

2.6.1 Operating Budget

The operating budget consists of plans for all those income-generating activities that make up the normal operations of an organization. The main components of an organization's operating budget are sales, production, inventory, materials, labour, overhead, research and development. Heymans (2006) explicates that the Local Municipal Operating budget deals with the day-to-day expenses, such as; salaries, service charges from basic services, property rates, operating transfers from the National Government such as Municipal Equitable Share, municipal revenue like traffic fines, resident electricity and water rates. The operating budget policy should highlight the activities that must be undertaken and determine what the total realistic revenue for the municipality, in the new financial year. The following are the sources of the operating budget:

- **Grants and Subsidies:** This item consists of subsidies for clinics and health services, percentage of motor license fees as well as inter-governmental contributions in the form of equitable share contributions, finance manage grant, municipal systems improvement grant and others as may be determined from time-

to-time. In terms of section 227(1) of the Constitution, local governments are entitled to an equitable share of revenue raised nationally to enable it to provide services and perform functions allocated to them. The Constitution demands that DORA (Division of Revenue Act), when distributing the national collected revenues, should provide equitable allocation of funds to be used for operating expenditures, by the local municipalities.

- **Assessment Rates and the rates policy:** An assessment rate is levied on the land value of property in a municipal area, based on a predetermined percentage. The Local Government : Municipal Property Rates Act, (herein referred to as Act 6 of 2004), has far-reaching implications on the assessment rate tariff. Due to the time-consuming nature of the compilation of a new valuation roll to conform to the guidelines of the Property Rates Act, it was proposed that only the new valuations of the formally established urban areas be considered during the 2019/2020 budget process.
- **Consumer Revenue:** Consumer revenue consists of income generated from the sale of electricity and water (trading services) and from amounts levied for sewerage and refuse removal (economical services).
- **Other Revenue:** Departments that provide services, other than consumer services listed above, must at least recover their costs, and may generate a surplus. These services include - building plan fees, use of council facilities, electricity connection fees, traffic fines, driver's licenses, transport fees and dumping fees.
- **Operating Expenditure Budget:** The expenditure framework must be based on the strategic plans/ IDP, the functional operational plans and the revenue framework. Where possible, the zero-based budgeting technique is applied to categories of expenditure, to ensure that an in-depth review of revenue, expenditure and the target for each category is undertaken during the budget process, resulting in a credible three-year budget and not merely based on an incremental approach. The

zero-based type of analysis where all activities are open to review at budget time, also allows the local municipalities an opportunity to reallocate resources and avoid continuous growth in budgeted expenditure.

- **General Expenses:** The general expenses include all expenses that will be necessary for the municipality to carry out operations or activities that are not classified under one of the other expenditure groups. Set out below are some of the common general expenditure items - councilor allowances (all the costs associated with the remuneration of councilors, including their allowances and any other benefits paid, must be showed in this section as a separate expense); bulk purchases; working capital reserve/provision and contracted services.
- **Repairs and Maintenance:** This item include all labour and material costs for the repair and maintenance of the assets of the municipality; it must include both contracted services and services performed by employees. The total cost of asset maintenance is disclosed to enable an evaluation of an asset's performance and expenditure for repairs and maintenance must be accounted for to ensure asset performance. Total Asset Management requires that a schedule of programmed maintenance should be developed for all assets of the municipality. This ensures that the asset maintains optimal performance and the municipality obtains the maximum flow of economic benefits from the employment of the asset over its optimum life (Makhado Local Municipality Budget Policy 2021/2022).

2.6.2 Capital Budget

Heymans (2006) indicates that the capital budget influences the operating budgets on the financial position of the organisation and its earnings potential at the end of a budget period. They include a cash budget, capital expenditure budget pro-forma balance sheet and income statement. This budget deals with the expenditure on items with a long lifespan, such as land, buildings, vehicles, municipal and provincial roads, and its sources of income. This also includes government grants such as; Municipal Infrastructure

Grants), borrowing (for example, Development Bank of South Africa), internally generated funds (surpluses from previous years) and community contributions and donations.

2.6.3 The Role of the Budget in Budgeting Processes

2.6.3.1 Budget as a System for Authorisation

Fourie and Opperman (2022) in their book, *Municipal Finance and Accounting*, explained that the budget can act in different roles in organisations. Each municipal manager or the mayor of the local municipality, and in terms of the Municipal Financial Management Act (Act 56 of 2003), Section 53 (3) (a), must ensure that the revenue and expenditure projections for the given months are made public, and ensure that the service targets and performance indicators and performance agreements for each quarter are made public. This indicates that the budget would usually describe the amount of resources and degree of authority managers need to achieve the organization's goals. In this regard, the mayor is expected to invite or call stakeholders to meetings and table a budget statement for a given financial year, and where possible, show completed projects and those in progress, as per the budget of the previous financial year. The budget serves as a formal authorisation for a manager to spend a given amount of money on specific activities. Such a system of authorisation must be supported by a suitable responsibility structure adopted by the organisation (*MFMA: Act, 56 of 2003*).

2.6.3.2 Budget as a Channel for Communication and Co-ordination

The Municipal Systems Act (Act 32 of 2000), requires that municipalities should inform the various processes that are undertaken during a review of the IDP and the development of the budget for a given financial year. In terms of Section 80 (2) of the MSA, the local municipality should inform, consult, establish mechanisms and programmes and communicate the service delivery procedures to the members of the local communities. Budgets are important channels of communicating certain types of information that will enable stakeholders in different parts of the organisation to be fully informed of the plans, policies and constraints, to which an organisation is expected to

conform. Fourie and Opperman (2015) confirm that through the budgeting process, top management communicates its expectations to the lower-level management so that members of the organisation may understand these expectations and can coordinate their activities to attain them. In essence, the preparation of the budget facilitates the transfer of vital information among all levels in the organisation, thus, the level of interaction is enhanced due to the budgeting process

2.6.3.4 Budget as a Motivational Device

A budget can be a useful device in influencing and motivating managerial behaviour to perform in line with the organizational objectives. A budget, therefore, provides a standard that may motivate managers to strive to achieve the desired service standard, however, they can view the budget as a pressure device forcing them to aim for a level of performance that they do not see as achievable. Nevertheless, motivation would be enhanced through a feeling of involvement which participation in the budgeting process can promote. If individuals have actively participated in preparing a budget, and it is used as a tool to assist them in managing their units, the budget can then act as a strong motivational device, by providing a challenge (Drury, 2021).

2.6.3.5 Budget as a Means of Performance Evaluation and Control

A budget assists managers in managing and controlling the activities for which they are responsible. The control of business activities may be aided through the comparison and quantitative measurement of actual results against the budget plan. By doing this, managers can ascertain which activities do not conform to the original plan and, therefore, require their attention. By investigating the reasons for the deviations, managers may be able to identify inefficiencies, so that appropriate control and corrective action can be taken to remedy the situation. Section 34 of the Municipal System Act requires the Municipal Council to review its integrated development plan annually by an assessment of its performance measurements in terms of Section 41. In this manner, if objectives are not achieved, the municipality may amend its integrated development plan by the prescribed processes.

2.6.4 Makhado Local Municipality's Virement Policy

According to Makhado Local Municipality IDP Review (2021/2022), virement is regarded as a process of transferring from one budget account or heading to another, with the approval of the relevant sectional director. It can be used to enable managers responsible for different accounts to amend budgets in the light of experience, or to reflect anticipated changes in the pattern of future income or expenditure policy. The Makhado Local Municipality's virement policy and its underlying administrative process within the system of delegations is one form of control. It is the responsibility of each Head of the Department to which funds are allocated, to plan and conduct assigned operations so as not to spend more funds than budgeted and to ensure that funds are utilised effectively and efficiently. The objective of the Makhado Local Municipal's virement policy is to allow limited flexibility in the use of budgeted funds to enable management to act on occasions, such as disasters, unforeseen expenditures or savings, to continue with service delivery in a financially responsible manner. In terms of the policy, the Makhado Local Municipal Chief Financial Officer has a statutory duty to ensure that adequate virement policies and procedures are in place to ensure an effective system of financial control.

2.8 SUMMARY

This chapter has discussed the budget and the budgetary processes, and the role played by the community in enhancing financial planning and management of municipalities. The discussions indicated that budgetary processes are a collective effort and not just the duty of a certain group of stakeholders or municipalities. The community should be empowered to contribute to how things are done so that people feel that they can influence the outcome of projects that affect them. The local municipality, therefore, should mobilise local communities to take collective action aimed at sustainable development.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 INTRODUCTION

The previous chapter discussed the perspectives, historical background, comparative analysis, theoretical framework, legislative framework, significance of community engagement, methods of formalised community participation, and values of community participation in the local municipal budgeting process. This chapter will outline the research design, research method, population of study, sampling procedure, data collection and data analysis. Also, this chapter highlights the reliability and validity of the research instrument as well as how ethical considerations about this research were adhered to. This study aims to evaluate the role of community participation in the municipal budgeting process of the Makhado Local Municipality to pinpoint any challenges and recommend possible solutions.

3.2 RESEARCH DESIGN

According to McMillan and Schumacher (2010), a research design is a plan and structure employed to answer the research questions; the design aids in the selection of subjects, research sites, and data collection procedures to answer the research question. The purpose of a research design is that it is a blueprint for action; it is the overall plan that spells out the strategies that the researcher uses to develop accurate objectives and interpret research information. Generally, a research design is a strategy of how one intends to conduct a study; the design provides the overall framework for collecting, analysing and interpreting data. In this study, the researcher conducted a descriptive case study, in an attempt to obtain answers to the research questions. The descriptive design ensures that the participants describe their experiences, attitudes and perceptions of the community participation in budgetary processes.

3.3 RESEARCH PARADIGM

Denzin and Lincoln (2017) define a research paradigm as a set of beliefs and agreements shared between scientists about how problems should be understood and addressed. They provide ways of looking at life and are grounded in sets of assumptions about the nature of reality. Neuman (2014) maintains that research carried out scientifically can be based on several key fundamental philosophical assumptions, such as the nature of the research, the evidence available to support it, and the method used for the research. Babbie (2017) explains paradigm as a “framework of views, and that social scientists can ground their inquiries in any number of paradigms” and identified different types of paradigms, namely; positivism, interpretivism and pragmatic.

3.3.1 Positivism paradigm

The positivist paradigm is associated with quantitative research; it involves hypothesis testing. Scotland (2012) contends that positivism relates to what is given in general, with a focus on pure data as well as facts without them being influenced by the interpretation or bias of the researcher. The positivist paradigm asserts that events can be observed empirically and explained with logical analysis. Positivism is based on the philosophical stance of natural scientists who are working with observable reality within society, leading to the production of generalizations.

3.3.2 Interpretivism paradigm

The interpretivism paradigm is associated with qualitative research and is used to obtain an understanding of the world from an individual perspective. In this study, the researcher attempted to observe ongoing processes to better understand individual behaviour and the spiral nature of the world. The interpretive paradigm enabled the researcher to consider different factors such as behavioural aspects based on participants' experiences. Furthermore, the interpretivist paradigm enables researchers to treat the context of the research and its situation as unique considering the given circumstances as well as the participants involved. This paradigm also supports research to be more

focused on the specific topic. Interpretivism paradigm assisted the researcher in abstaining from heading or being prone towards generalisation or a generalised approach (Alharahsheh & Pius, 2020).

3.3.3. Pragmatic Paradigm

Kaushik and Walsh (2019) contend that pragmatism as a research paradigm supports the use of a mix of different research methods as well as modes of analysis and a continuous cycle of abductive reasoning while being guided primarily by the researcher's desire to produce socially useful knowledge. Pragmatism can serve as a rationale for formal research design as well as a more grounded approach to research. Tashakkori and Teddlie (2008) support the assertion by Kaushik and Walsh (2019) that the pragmatic approach opens doors to different forms of data collection and analysis, the pragmatic approach can also be used for both quantitative and qualitative research methods and a variety of data collection techniques.

3.4 RESEARCH METHODS

Creswell and Creswell (2018) maintain that research methods are what researchers propose for their studies which are forms of data collection, analysis and interpretation. Almalki (2016) argues that the distinct research methods are quantitative, qualitative and mixed. Any or a combination of these three methods can be used depending on what the research aims to achieve, the type of research questions, how the questionnaire or interview guide is structured and the kind of participants. This study will adopt the mixed methodology as appropriate to collect data as follows:

3.4.1 Mixed Methodology Research

According to Creswell (2019), pragmatism arises out of situations, actions, and consequences and draws from mixed methods. Researchers using the pragmatism approach usually choose techniques, procedures, and methods based on the intended consequences. This study used a mixed methods approach with various methods of data

collection, in line with both qualitative and quantitative methods to provide the best understanding of the research problem. This combination of methods was preferred because it allowed different forms of data collection and analysis, different paradigms, and different assumptions as well as multiple methods of analysis and interpretation.

Creswell (2018) states that mixed-methods research refers to a methodology in which both qualitative and quantitative approaches, methods and procedures are combined or mixed to come up with a more complete picture of the research problem, hence, this study adopted the mixed-research methodology. In the qualitative phase, the focus was on the respondents to understand the phenomenon being studied, from their perspective; data was collected in the form of words. In the quantitative approach, a representative sample of the population and statistical calculations (numerical) are collected to analyse and interpret the data. The rationale for adopting the mixed-methods approach is that it comprehensively presented what the researcher needed to know about the role of community participation in municipal budgeting in Makhado Local Municipality. Also, it complements the strengths of both qualitative and quantitative methods.

3.4.1.1 Qualitative method

Qualitative research focuses on a phenomenon that occurs in natural settings. Data was collected from the participants, making use of interviews, on the role of community participation in municipal budgeting in Makhado Local Municipality. Creswell and Plano (2011) state that in qualitative research, one gets closer to the participants, talks to them, and tries to get their subjective feelings and understand the reasons why they do what they do. The qualitative approach was needed to explore (through in-depth interviews) the role of community participation in the municipal budgeting process. In other words, how the municipality involves the local communities in the budgeting process, to explore the reasons for the existing situation on the role of community participation in the municipal budgeting process in Makhado Local Municipality. Furthermore, qualitative research is aimed at attaining a deep understanding of a specific case within the exploratory approach to enable the finding of quality responses. It allowed

the researcher to ask follow-up questions in order to probe for more information on the topic investigated, namely the role of community participation in municipal budgeting in Makhado Local Municipality.

3.4.1.2 Quantitative Research Method

Quantitative research is aimed at testing theories, by determining and demonstrating the relationship between variables and predicting outcomes. The quantitative approach requires the researcher to collect numerical data, to seek precise measurement and analysis of target concepts. This process can be achieved through methods such as survey research, correlational research, experimental research and using questionnaires. asserts that the quantitative research method “focuses attention on measurements and the amount of the characteristic displayed by people (Bless, Higson-Smith & Sithole 2013). In qualitative study, researchers are more concerned with the experience of individuals, groups or community members. Creswell (2020) adds that the qualitative research method is “an approach for exploring and understanding the meaning individuals or groups ascribe to a social or human problem”.

Fox and Bayat (2017) state that qualitative and quantitative techniques should be viewed as mutually inclusive since a research design might include the characteristics of both qualitative and quantitative research. Quantitative research is useful for quantifying opinions, attitudes and behaviours, while qualitative research attempts to find out how the whole or selected population group feels or thinks about a certain issue and is useful in explaining certain phenomena. This approach was deemed appropriate and was used to establish, comprehensively, the role of community participation in the Makhado Local municipal budgeting process.

3.5 STUDY AREA

Maree (2019) regards a study area as a suitable and feasible place where the research is conducted. The topic of this study is based on the case study. Makhado Local Municipality is where the researcher engaged with the respondents or participants to find

their views or perceptions about the phenomenon. Participants of this study were from local communities of the selected villages for their views about their involvement in budgetary processes. Municipal officials who deal directly with budgeting and IDP processes form part of the respondents on their views to encourage community participation.

Figure 1: Map of Vhembe District Municipality showing Makhado Local Municipality as the area of this study



(Vhembe District Municipality IDP Review, 2021/2022).

3.6 POPULATION

Kumar (2011) refers to a population as the aggregation of elements from which the sample is selected. Population is a term that sets boundaries for the study units. Creswell (2019) argues that the target population refers to the total group of individuals from which the sample might be drawn. It is essential, in scientific research, to describe accurately

the target population, and to state the size of this population and the means of identifying an individual in the population. It is the entire group of people or objects that are of interest to a researcher, in other words, those who meet the criteria which the researcher is interested in. Bless, *et al.*, (2013) describe that the population is sometimes referred to as a “target population” is the set of elements that the research focuses upon and to which the result obtained by testing the sample would be generalized. The study population for this study were made up of selected adult community members, aged eighteen years (18) and above who reside within the geographical areas of the Makhado Local Municipality’s selected villages.

3.7 SAMPLING METHOD AND SAMPLE SIZE

According to Babbie (2012), sampling is a method for selecting a sub-group from a population to participate in a study, thus, is a sub-section of the population. Sampling is regarded as a practical way of collecting data when the population is extremely large. Kessio and Boit (2012) define sampling as a technique to select a population research sample to estimate and predict the outcome of the population as well as to detect the unknown piece of information. The researcher used judgment or purposive sampling to select the participants who best meet the purpose of the study; the logic and strength behind a purposive selection of participants is that the sample would be information-rich.

The total sampling size was 65 participants. Forty-five (45) community members including traditional leaders and civic committees from sampled villages; Tshakhuma, Mpheni, Watervaal, Madombidzha, Midoroni, Maelula and Matidza. Out of 45; (5) were traditional leaders or their representatives. Concerning the MLM Officials; ten (10) were selected officials who deal with financial matters, five (5) ward councillors and five (5) members from IDP officials. In addition, the researcher sampled another two villages under the MLM to augment the low rate of responses for community members so as to reach the saturation point, which is from 30 participants and above.

3.8 DATA COLLECTION

According to Welman, Kruger and Mitchell (2022), data collection is regarded as an organized way of collecting research information relevant to the research purpose or question. The researcher used both qualitative and quantitative data collection research methods, while the researcher's data collection tools used to collect data from the respondents, included questionnaires and interview schedules. This study adopted two types of data collection instruments which are; questionnaires and semi-structured interviews as follows:

3.8.1 Questionnaires

A questionnaire, as alluded to by Babbie (2017) refers to a set of questions, dealing with the same topic or related group of topics, given to a selected group of individuals, to gather data, and in this case, for gathering data on the role of community party participation in the Makhado Local Municipality. Trochim (2006) clarifies questionnaires as an instrument containing questions designed for respondents to complete. In other words, a questionnaire is a list of questions or statements to which individuals are requested to respond in writing; the responses may range from putting a mark to extensive written statements

The researcher designed the self-administered questionnaire with a multiple-choice answer option for the quantitative data collection. The researcher attended five (5) meetings of local communities as invited by Municipalities and Tribal Council from various villages within MLM. It was a multi-dimensional research instrument designed to measure service quality by capturing respondents' expectations and perceptions along five dimensions of service quality. Refer to (Appendix "D"- Survey Instrument, Part A as attached. The data collection was based on the Likert Scale in the form of closed-ended questions. Participants were requested to rate their responses as; 1=Strongly disagree, 2= Disagree, 3 = Neutral, 4= Agree, and 5 = Strongly agree.

3.8.2 Semi-Structured Interview

There are different types of interviews based on whether the choice is for a structured, semi-structured or unstructured process. Creswell (2020) refers to a semi-structured interview as a standardised interview that involves asking participants a set of open-ended questions and following them up with probe questions to explore further their response and the topic of interest. The purpose of the interviews was to enable the participants to freely speak out on their terms about the research topic. The researcher interviewed the selected categories of staff in the Makhado Local Municipality consisting of Municipal councillors, selected ward committees and the IDP Officials who deal directly with budgeting processes. Open-ended questionnaires were used to solicit data from the respondents. Different categories of representatives who deal directly with community participation and the ones for budgetary processes were able to attend.

The discussions of the interview were based on the budgeting processes through IDP and how their participatory roles were perceived. The meetings also discuss issues of service delivery and community participation as challenges of service delivery are regularly attributed to a lack of consensus or conflict during budgeting processes. The interviews were useful as they assisted in making follow-up questions gathered through quantitative methods from community members, traditional leaders and civic organisations. The attendance of the meetings assisted in increasing the responses to reach saturation points as required in data collection.

3.8.3 Pilot testing

Brynard and Hanekom (2017) refer to pilot testing as a “small study conducted before conducting an actual experiment; designed to test and refine procedures”. A pre-testing of the instruments was undertaken to determine or identify if there is any vagueness or ambiguity about the questions and any possible difficulties with the whole research process. The researcher identified five respondents from the target population, two of these respondents were given interview questions, and three were interviewed to test the

research instruments. Pilot testing was useful as the researcher was able to correct the instrument eliminating ambiguous questions or paraphrasing to ensure the validity of the questions utilised in the study. The community members, or stakeholders used for the pre-testing of the instruments were selected using convenience sampling.

3.9 DATA ANALYSIS

Kantardzic (2011) defines data analysis as the process of systematically applying statistical and/or logical techniques to describe and illustrate, condense and recap, and evaluate data. Creswell (2019) identifies four essential steps for this phase: prepare data, analyse data, report results, and interpret the results. In line with Schurink and Fouché (2011) arguments on data analysis opinions, data collected from respondents was organised, structured, placed in order and given meaning, the researcher read through all the data collected from the respondents and began with detailed analysis with a coding process, interrelates themes to convey the findings of the analysis, and interpreted data as follows:

- Quantitative Data Analysis

After the interview schedules were administered, the researcher wrote qualitative data through a description of the identified themes and categories. The study analysed quantitative data using descriptive statistics presented in a format using figures and graphs.

- Qualitative Data Analysis

The study used the thematic analysis technique to analyse data collected using in-depth interviews. The thematic analysis involves a process that identifies themes within data and is useful because it describes data sets in an organised detailed format. Vaismoradi, Turunen and Bondas (2013) defined thematic analysis, as a method that identifies, analyses, and guides the researcher on reporting patterns (themes) within data collected through interviews and presented in a narrative form and grouped or organised in the

themes. Thematic analysis is effective in identifying, analysing and reporting patterns within data, which was the intention of the qualitative study thematic analysis was used because the technique is a widely used method of analysis in qualitative research. This analysis correlates with Creswell's (2018) essential steps or methods of data analysis; information collecting, note-taking, coding processes, and making memos.

3.10 VALIDITY AND RELIABILITY

The measure for validity and reliability is more about the relationship among values that are assigned to the attributes for a variable, the level of measurement that serves as a guide to the data analysis method and the conclusions. The following are the validity and the reliability of the study:

3.10.1 Validity

Polit, Beck and Hungler (2001), describe 'validity' as the degree to which the instrument measures what it is supposed to be measuring. The researcher focused on content validity, which refers to the accuracy with which an instrument measures the factors under study. The researcher had done a literature review on the role of community participation in the budgeting processes in the MLM local community. These information sources consulted during the literature review assisted the researcher in formulating the relevant questions to achieve the research objectives. Okeke, Abongdia, Adu, Van Wyk, and Wolhuter (2016) maintain that the researcher using several data collection approaches, and sources, and sharing data with the participants to confirm the correctness of the interpretations is another mechanism to ensure validity. In this context, validity was obtained through adequate coverage of the topic by the questionnaires, asking relevant questions during the interview, also by choosing the relevant sample for the study. The researcher was compelled to translate the English questionnaire into Tshivenda after realising that some of the participants could not understand English and this added to the validity of the data obtained.

3.10.2 Reliability

According to Fox and Bayat (2017), reliability relates to the precision and accuracy of the data-collection instruments. An instrument is regarded as reliable if used on a similar group of respondents, in a similar context, and it yields similar results. The respondents were comprehensively informed about the purpose of the interview questionnaires so that they could respond truthfully. Accurate and careful phrasing of questions was ensured to avoid ambiguity and influencing respondents to a particular answer; in addition, rich, detailed descriptions of all the data gathering processes have been provided to promote the reliability of the results.

3.11 ETHICAL CONSIDERATIONS

The term ethics is understood to refer to values and principles by which a determination of what is the right and wrong thing to do, is made. Okeke, Van Wyk *et al.*, (2016) state that researchers are humans, therefore, they bring their likes, dislikes, views, and values to research projects, and these sometimes compromise the research's integrity. Various principles, hence, should be considered when conducting research, namely, non-deception of participants, avoidance of harm, confidentiality, and informed consent.

3.11.1 Permission to conduct the study

As part of research and ethical procedures, acquiring approval from the relevant bodies, before one conducts a study is essential. Permission or approval to conduct this study was obtained from the Research Ethics Committee of the University of Venda and the Makhado Local Municipality. A copy of the letters was attached to every interview questionnaire, together with a consent form sent to the participants. Quick, *et al.*, (2011) argue and confirm that when a researcher approaches an institution or an organisation under study, may face and expect different challenges, which amongst others may include permission and access to conduct the study (See "Annexure A" attached).

3.11.2 Respect for privacy and confidentiality

Novak (2014) notes that “anonymity is also an aspect of privacy, and conceals the identity of the participants”. Amdur and Bankert (2010) also defined confidentiality as the treatment of information that an individual has disclosed; respecting participant(s)’ privacy, in a relationship of trust and with the expectation that the information provided will not be revealed to others without permission in ways that are inconsistent with the research ethics. Respect for persons is a basic human right. The participants, as autonomous individuals, have the right to choose to either participate or not and for their information to be treated confidentially, not to be discussed with anyone and not made unavailable to anyone other than the researcher. The researcher recorded, in writing, the information given by the participants but did not indicate their identities to ensure confidentiality.

The researcher respected the privacy of the participants to encourage their free participation, hence, the compiled data was protected and preserved (Babbie and Mouton, 2012). The participants, hence, were informed from the start about confidentiality and respect of their privacy as well as no harm to them when participating in the study.

3.11.3 Voluntary Participation and Informed Consent

Respondents have the right to know the purpose of the study and the nature of the research and the right to withdraw their participation at any time if they wish. Hart (2013) defines voluntary participation as a human research subject's exercise of free will in deciding whether or not to participate in a research activity. The standardised research Informed Consent form from the University was distributed to the participants to sign if they agreed to participate (See “*Annexure C- Informed Consent*” attached). During the research interview process, the researcher explained the purpose of the research and how the data or collected information was going to be used and stored. The principle of voluntary participation was explained to the respondents and permission was sought through informed consent. Therefore, the respondents’ decision to voluntarily participate in this study was obtained without coercion. The researcher took time to explain what was

expected from the participants. The researcher also accepted the participants' choice of those participants who refused to participate for fear of reprisal by their colleagues in their workplace.

3.12 SUMMARY

This chapter discussed the research paradigms, methodology, research design, data collection methods and instruments, sampling procedures, population and area of study, level of measure, data analysis and ethical considerations. The mixed-method research approach grounded the study as both the qualitative and quantitative approaches were used to triangulate the data collected and also for the analysis; the rationale for using mixed method was indicated. This chapter holistically depicts how the data collection was conducted as well as the approach used to entice participants to be part of this research.

CHAPTER FOUR

DATA ANALYSIS AND PRESENTATION OF RESEARCH FINDINGS

4.1 INTRODUCTION

The purpose of this chapter is to present and interpret the research results to understand the role of community participation in the budgeting process of the Makhado Local Municipality. The chapter focuses on the presentation, analysis and discussion of the data collected by the researcher. Data is presented in the form of graphs, tables and pie charts in some sections or questions. The findings were organized according to the themes and sub-themes derived from the objectives and research questions presented in Chapter One. The presentations are based on both primary and secondary data. Data was collected through questionnaires, interviews and observations during meetings where the researcher was invited.

4.2 RESEARCH METHODOLOGY

The data presentation and interpretation of this study is based on the mixed methodology which was used for data collection. The mixed method was employed to collect data. Questionnaires were in line with the aim, objectives and research questions. The researcher were able to achieve data saturation as non-response from the originally selected participants was augmented by attending five meetings as invited by the traditional leaders and the community.

4.3 ALIGNMENT TO OBJECTIVES OF STUDY

To achieve the aim of this study, this chapter conducted the data presentation and interpretation based on the following study objectives:

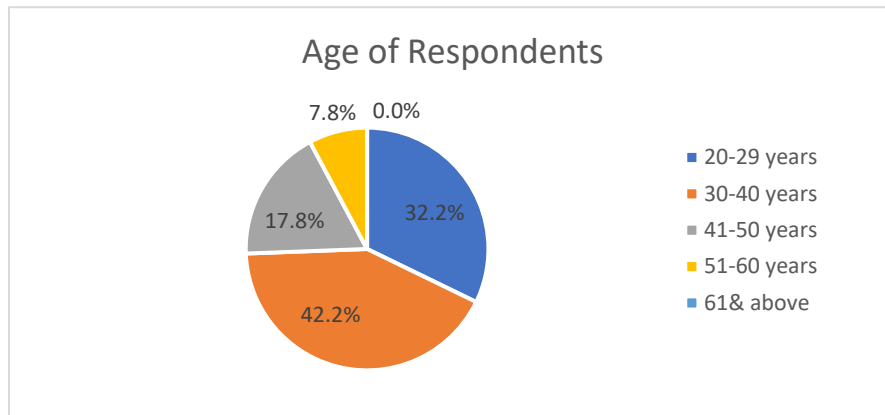
- To understand the state of community participation in Makhado Local Municipality.

- To examine and explore the relationship between community participation and the municipal budgeting process in Makhado Local Municipality.
- To determine the challenges regarding community participation in the municipal budgeting process of Makhado Local Municipality.
- To suggest strategies to enhance community participation in the Makhado Local Municipality budgeting process.

4.4 DEMOGRAPHIC CHARACTERISTICS OF THE RESPONDENTS

4.4.1 Age group of respondents

Figure 2: Age of the Respondents



The age is very important for the researcher and readers to know as it, indirectly, indicates the respondents' level of maturity which impacts the responses provided. This study considered five categories of age groups which were: 20-39 years; 30-40 years; 41-50 years; 51-60 years and 61 and above. Figure 1 above elucidates the statistical analysis of the age groups involved in this study.

4.4.2. Gender Analysis of the Respondents

The respondents were asked to indicate their gender. The results were then cross-tabulated against their designation and the results are given in Figure below:

Table 1: Gender of respondents

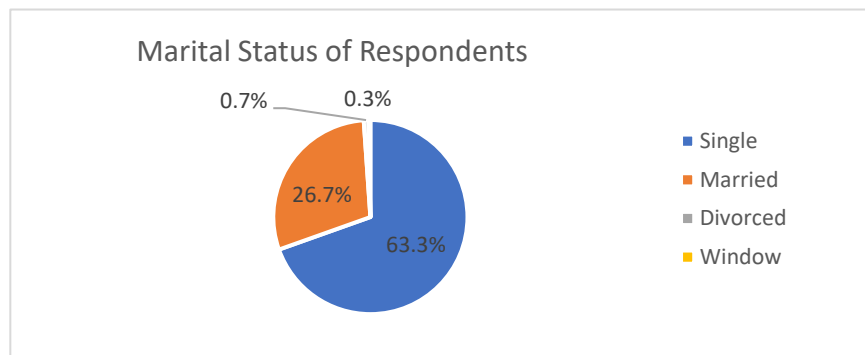
Responses	Frequency	Percentage
Female	55	61.1
Male	35	39.9
Total	90	100

Results in Table 1 above show that most of the respondents (61.1%) were female while (39.9%) were male.

4.4.3 Marital Status of the Respondents

The third question on the questionnaire sought to profile the participants in terms of their marital status and the results are as indicated below.

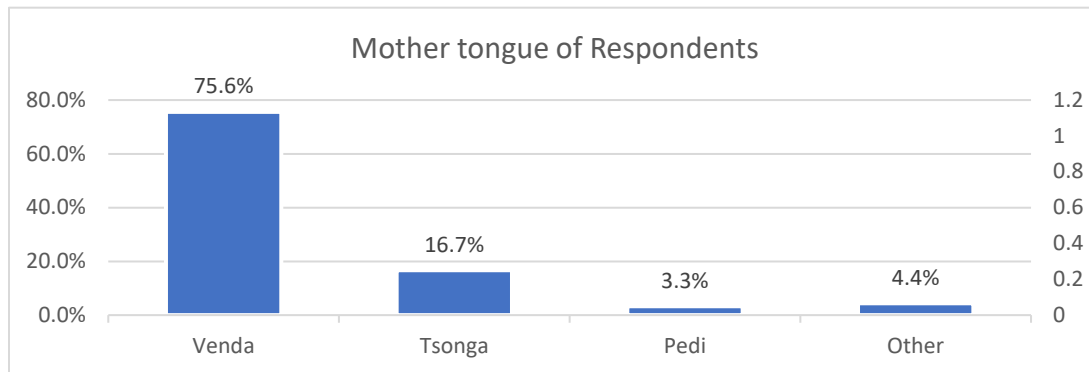
Figure 3. Marital status of the Respondents



4.4.4 Mother Tongue of the Respondents

The respondents were asked to indicate their mother tongues; this is also an indication of what languages are spoken in the Makhado Local Municipality. Based on the results, the information was then cross-tabulated against their designation and the results are given in Table 4 and the graph below:

Figure 4: Mother tongue of respondents



The results show that 75.6 percentage of the respondents speaks Tshivenda, while 16.7% speaks Tsonga, 3.3% speaks Pedi and 4.4% are other languages.

4.4.5 Educational Levels

The information on the respondent's level of education was for confirming if the respondents were able to understand the research questionnaires; their educational picture is shown in Table 2 below.

Table 2: Educational Levels

Responses	Frequency	Percentage
Primary	0	0
Grade 12	50	55.6
Three (3) Year qualification	31	34.4
Post Graduate qualification	9	10
Other qualifications	0	0
Total	90	100

Table 2 above indicates the educational level of the respondents, in which 55.6% responded that their highest education qualification is Grade 12, while 34.4% indicated that they possess a three-year diploma. Only 10% indicated that they have acquired a post-graduate qualification. There were no respondents who had only a primary school level qualification, nor was there anyone who qualifications other than those indicated.

4.4.6 Occupational Status / employment

The table below shows the employment status of the research participants.

Table 3: Employment level of participants

Responses	Frequency	Percentage
Employed	29	32.14
Unemployed	29	32.14
Self employed	13	14.3
Other	19	21.4
Total	90	100

Table 3 above depicts that 32.14 percentage of respondents were employed while another 32.14 percent were unemployed. 14.3% were self-employed and 21.4 percentage not disclose their occupational status.

4.5 PART A: RESPONSES FROM COMMUNITY (STRUCTURED QUESTIONNAIRE)

Table 4: Respondents' perception of understanding their importance in the local municipality budgeting processes

Responses	Frequency	Percentage
Strongly agree	13	14.3
Agree	19	21.4
Neutral	26	28.6
Disagree	19	21.4
Strongly Disagree	13	14.3
Total	90	100

Table 4 above shows that 14.3% of respondents *strongly agreed* that the local community members understand their role in the participation of the municipal budgeting process and 21.4% *agreed*. Respondents who *disagree* with the statement were 21.4%, while 14.3% *strongly disagree*. The percentage of those who *strongly disagree* and those who *disagree* added together give a sum of 36.7 % of respondents who do not believe that the local community members understand their participation role in the municipal budgeting process. 28.6% of respondents indicated that they were *neutral* on whether the local community members understand their role in the municipal budgeting process.

Table 5: Respondents’ view on MLM’s involvement of the local communities in the budgeting processes

Responses	Frequency	Percentage
Strongly agree	13	14.3
Agree	16	17.9
Neutral	23	25
Disagree	19	21.4
Strongly Disagree	19	21.4
Total	90	100

Table 5 above shows that 14.3% of respondents *strongly agree* that the Makhado Local Municipality always involve local communities in the IDP or the municipal budgeting process and 17.9% *agreed*; these when added together give a sum total of 32.1% of the respondents who *agreed* with the statement. The percentage of those who *strongly disagree* and those who *disagree* added together gives a sum of 42.8%; this means that 42.8% of respondents believe that the Makhado Local Municipality does not always involve local communities in the IDP or the municipal budgeting process. 25%% of the respondents indicated that they do not know, or they are *neutral*.

Table 6: Respondents' views on MLM's proactive in encouraging the local communities in the municipal programs including the IDP and municipal budgeting

Responses	Frequency	Percentage
Strongly agree	15	17.9
Agree	10	10.7
Neutral	9	11.7
Strongly disagree	26	28.6
Disagree	30	32.1
Total	90	100

Table 6 above shows that 17.9 percentage of the respondents *strongly agree* and 10.7 percent *agree* that the MLM is proactive in involving communities in the municipal programs including the IDP and budgeting processes, resulting in a total number of 28,6% who agreed and 11.7 percentage of respondents remain neutral. Another percentage of 28.6 respondents *strongly disagree*, while 32.1 percentage of respondents disagree that MLM involves communities, resulting in a total of 60.07%.

Table 7: Respondents' perceptions on whether the Municipality is accountable to the local communities

Responses	Frequency	Percentage
Strongly agree	13	14.3
Agree	19	21.4
Neutral	19	21.4
Disagree	19	21.4
Strongly Disagree	19	21.9
Total	90	100

Table 7 above shows that 14.3% of respondents *strongly agree* that the Makhado Local Municipality is always accountable to the local communities in the form of *imbizo*, ward committees and community meetings; 21.4 % agree. This means a sum total of 35.7 % of respondents believe that the Municipality is always accountable to the local communities. in the form of imbizo, ward committees and community meetings. The percentage of those who *disagree* and those who *strongly disagree* with the statement added together give a sum of 43.3.%, while 21.4% indicated that they are *neutral* on the point.

Table 8: Respondents' views on MLM using the local media to communicate or consult with the local communities

Responses	Frequency	Percentage
Strongly agree	13	14.3
Agree	29	32.1
Neutral	19	21.4
Disagree	13	14.3
Strongly Disagree	16	17.9
Total	90	100

Table 8 above shows that 14.3% of respondents *strongly agree* that the Municipality reaches out to local communities through radio, local newspapers, ward committees and civic community meetings with a view to consult with the local communities on municipal budgeting matters, and 32.1 % *agreed*, therefore, a total sum of 46.4% of respondents showed that they *agree* with the statement. The percentage of those who *strongly disagree* was 17.9% and those who *disagree* were 14.3 %; these added together give a sum of 32.1%. This means that 32.1% of respondents do not believe that the municipality reaches out to local communities through radio, local newspapers, ward committees and civic community meetings with a view to consulting them on municipal budgeting matters. 21.4% of respondents indicated that they were *neutral*.

Table 9: Respondents' perceptions on MLM conducting training to deepen local communities in understanding of the budget process

Responses	Frequency	Percentage
Strongly agree	13	14.3
Agree	23	25
Neutral	10	10.7
Disagree	23	25
Strongly Disagree	23	25
Total	90	100

Table 9 above shows that 14.3% of respondents *strongly agree* that the local municipality conducts workshops for communities, ward committees, civic members as a strategy to deepen understanding and to influence community participation in the municipal budgeting processes; 25% *agree*. Those who *strongly agree* and those who *agree* added together give a sum of 39.3%; this means that 39.3% of respondents agree with the statement. Twenty five percent (25%) of the respondents indicated that they *disagreed* with the statement, and 25% *strongly disagree*, showing a sum total of 50% of respondents who *disagree* with the statement, while 10.7% were *neutral*.

Table 10: Respondents' views on the impact of community participation in service delivery protest

Responses	Frequency	Percentage
Strongly agree	29	32.1
Agree	16	17.9
Neutral	19	21.4
Disagree	16	17.9
Strongly Disagree	10	10.7
Total	90	100

Table 10 above shows that 32.1% of respondents *strongly agree* that service protests occur because the Municipality excludes or never implements the inputs from the local communities in the municipal budget and 17.9% agreed. The percentage of those who strongly agree and those who agree added together give a sum of 40%; this means that 40% of respondents believe that service protests occur because the Municipality either excludes or never implements the inputs from the local communities in the municipal budget. The respondents who *strongly disagree* with the statement are 10.7%, while the respondents who *disagree* are 17.9%; these when added together, show that the all the respondents who disagree with the statement are 28.6%. About 21.40% of the respondents indicated that they are *neutral* on the subject.

Table 11: Respondents' views on whether the Makhado Local Municipality organises transport for them to attend IDP meetings

Responses	Frequency	Percentage
Strongly agree	23	25
Agree	6	7.1
Neutral	26	28.6
Disagree	23	25
Strongly Disagree	13	14.3
Total	90	100

Table 11 above shows that 25% of respondents *strongly agree* while and 7.1% *agree*. Those who *strongly agree* and those who *agree* added together give a sum total of 32.1%; who believe that the Makhado Local Municipality arranges transport for all stakeholders to attend its meetings on the budgeting process. The respondents who *strongly disagree* with the statement are 14.3% and 25% *disagree* while 28.6 % of respondents indicated that they are neutral.

4.6 PART B: RESPONSES FROM MUNICIPAL OFFICIALS

4.6.1 Biographical information of the respondents

Table 12: Age of the Respondents

Responses	Frequency	Percentage
20 – 29 years	22	25.2
30 – 40 years	42	46.2
41 – 50 years	16	17.8
51 – 60 years	7	7.8
61 and above	3	3 %
Total	90	100

Table 12 above shows that most of the respondents who were at middle age were 46.2%, while those at the young age were 25.2%. Old age ranges from 3%, to 7.8% and lastly, 17.8%.

4.6.2 Educational Level of the Respondents

Table: 13: Educational level

Response	Frequency	Percentage
Primary	0	0
Grade 12	47	47
Three (3) Year qualification	19	19
Post Graduate qualification	5	5
Other qualification	29	29
Total	100	100

Table 13 above reflects the highest percentage of the respondents with Grade 12 at 47%, while 19% with degrees and 5% with post-graduate. Other qualifications were 29%. This

is an indication that most of the respondents have qualifications which could capacitate them to understand the role of community participation in municipal budgeting processes.

4.6.3 Views On Community Participation in the Budgeting Processes

(a) Explain your understanding of “community participation” in a Budgetary Process.

A councillor stated, “community participation in the budgetary process provides ordinary citizens with the platform to voice their concerns, needs and aspirations about the expected service delivery”.

The Office of the IDP, which is focal on budgeting processes shows knowledge of the frameworks regulating the participation of local communities in budgetary processes and indicates that *“the Local Government Municipal Systems requires a Municipal Council to adopt a process to guide the planning, drafting and adoption of its IDP, in line with identified priorities. The municipality IDP contains the details of the municipality’s developed priorities and objectives, which contribute towards achieving the Municipal objectives”*.

Other responses to the above question cited the concept of democracy in decision-making by the people, that the people should have equal rights in the decision-making processes. One respondent argued that *‘it is essential for the Municipality to engage the local communities in the IDP process because the municipality must receive a list of needs from the local communities to provide the identified service delivery’*. The IDP Office reported that *“it is the prerogative of the local municipality to engage the local communities on issues of service delivery; that the community ward committee are empowered to make recommendations to the council around issues that affect their wards”*.

(b) Respondents were asked to describe how the Makhado Local Municipality encourages community participation.

Participants **A** indicated that *“one of the Constitutional objectives of local government is to encourage the involvement of communities and community organisation in local government. The Local Municipality offers free transportation for community members to attend meetings within the municipality to review and adopt IDP”*.

Participant **B** responded that *“ the other mode of encouragement is through communication used by the local Municipality to invite and engage the communities and other stakeholders to come and attend IDP and budgeting processes. The IDP Office cited imbizos, radio, newspapers, cell phones, notices in shops, public spaces, and clinics/hospitals as ways of communicating with the communities”*.

(c) What are the challenges faced by the Municipality in encouraging the community to participate in budgetary processes? Please motivate.

The above question provoked several answers as service delivery was a topical issue which is a concern for service delivery. The respondents identified concerns which were always received from local communities relating to service delivery such as; roads, clean water, housing for the poor, electricity, jobs, and sanitation. The respondents maintained that if the municipality could attend to the above challenges *“the local communities will be pleased. Furthermore, the respondents described the processes that should be embarked upon by the councillor when organising community meetings to get members’ views on their expectations of service delivery.*

Participant A said, *“I have not experienced the public participation process that directly engages the public in decision-making”*. **Participant B** - The IDP Office reported that *‘the Municipality sometimes face budget constraints and “we are forced to defer certain projects to the following year”*. In this manner, the community expectations are not met which culminates in service delivery protests due to complaints relating to electricity, roads and water shortages among others. The community then expressed their dissatisfaction by not attending the meetings which in turn negatively affected their willingness to participate in budgetary processes.

(d) What mechanisms do you use to encourage local communities to attend Imbizo, workshops towards community participation in budgetary processes?

Participants A - indicates that *“communities are encouraged through ward committee meetings, civic meetings, and IDP consultative processes, such as; local radio, and local newspapers and sending memorandums to various stakeholders such as; the pastors, traditional leaders and disabled groups organisations attend the presentations by the Mayor of Makhado Local Municipality”*.

Participant B - reported that *“there is free transport organised by the Municipality for the local communities to attend meetings to increase participation”*.

Participant C – responded that *“the IDP was satisfied with the turn-out during the said IDP consultative forums and the mayoral addresses which took place. Traditional authorities and community forums and religious formations during the public consultations are the ones who led communities, and these stakeholders are always involved, in decision-making, and this increases acceptance of decisions and community commitment to outcomes”*.

The response was against the perception of the majority of the community who felt that they no longer attend the IDP meetings as they felt that MLM engaged them as part of *ticking the box*. This confirmed that Municipal officials did not take into cognisance the concerns of the community, they were only satisfied even if the turnover to the meeting was minimal.

(e) What strategies do you think will increase participation of local communities in budgetary processes?

Respondents indicated that *“the local municipality should prioritise service delivery issues, develop objectives, and opportunities and identify strengths, weakness and threats within the local municipality”*. The IDP office reiterated that improvement in service delivery involves many factors, which according to him, include what he called *“stumbling blocks”*. The manager identified these challenges as including both human-resource and budget constraints; budget constraints often lead to budget adjustments which normally occur after consultation processes and sometimes may lead to deferring or swapping of

projects, not appointing tenders due to missing or incorrect information supplied, or information supplied not meeting the required criteria, and may lead to re-advertisement of the tender. Furthermore, the IDP office indicated that they do receive complaints from selected community members about lack of communication, lack of consultation which are some of the factors that affect our and efforts to come up with effective strategies address to less participation by the communities. MLM is working hard to increase participation of communities in Imbizos relating to budgetary processes, to increase the use of media to inform communities about matters that affect them.

(f) Are the local communities satisfied with service delivery under the Makhado Local Municipality?

Participant A - “The Makhado local communities are not happy with the service delivery, because there is not enough budget or resources to address the challenges faced by the municipality, such as access roads, and clean water, while some of the areas have no electricity and there is no job creation in the municipality”. *“We, as the Makhado Local municipality are mandated to make sure that we compile a budget to fund the community projects identified through IDP, that outlines the projects priorities and related budget expenditure.”* It was indicated that some of the dissatisfactions in service delivery were caused by a lack of feedback from ward councillors to communities. For example, the councillors should inform their communities about the deferred projects or projects approved by the council. Unfortunately, the MLM also learnt about dissatisfaction when it was already late when communities were already engaged in protests.

This confirmed that there a communication gap between the community and the MLM which negatively affected the service delivery.

Participant B - The Office of the IDP at MLM indicated that he cannot confirm whether local communities are satisfied with the service delivery or not, *“the local municipality relies on feedback from the communities; feedback was always submitted by the ward councillors; feedback is used for self-introspection so that the municipality can address the underlying challenges”*. At times Municipality is forced to defer some projects due to budget constraints, and it is upon the councillors to update their constituencies in this regard to avoid unforeseen expectations.

(g) What are the desired roles to improve community participation?

Participant A - The respondents indicated that they are aware of Municipality limitations which result in communities being disadvantaged by poor services. The Municipality has the budget for the maintenance and replacement of operating equipment. It was further indicated that the community is willing to participate, but some of the issues of service delivery contribute to them not attending. Also, the Municipal Councillors should monitor and scrutinise the performance of the budget through quarterly performance reports.

The respondents further cited the backlog in service delivery, that if addressed, the community may take the Municipality seriously, attend meetings and participate during the alignment of the annual budget with the IDP. This question was directed at the councillors to obtain their critical analysis of the processes that the Municipality embarks upon to influence the communities' participation in the budgeting processes.

h) How do the budgeting process, community participation and challenges evolve in Makhado Local Municipality?

The researcher had an interview session with the Makhado IDP Office. The purpose of the interview was to explore the actual state of community participation in the Municipality, to establish the actual relationship between the stakeholders during the Municipal budgeting process, to find out if there are challenges regarding community participation in the Municipal budgeting and the IDP process, and if there are challenges, how the Municipality addresses those challenges.

The IDP Office indicated that the budgeting process of the local municipality is informed by the relevant legislation, and in terms of Section 80 (2) of the Municipal Systems Act (32 of 2000), the local municipality should inform, consult and communicate service delivery mechanisms to the members of the local communities. *“The Mayor prepares a draft of SDBIP for a given budget and invites local communities to submit representations, and through the said invite the ward committees through their ward councillor can make recommendations for submissions to the council.”*

h) In your view, do you think that the ward councillors and officials are doing enough to facilitate community participation in the Municipality Affairs that affect them? Elaborate.

Despite the availability of councillors in various villages, a lot needs to be done, as the IDP Office often receives individual complaints from community members regarding feedback. Also, there are challenges with individual community members who regularly visit my office complaining either about service delivery or ward councillors. Service delivery or lack thereof is always associated with local community dissatisfaction due to a lack of consultation or lack of community involvement. The problem is that every community member has a representative within the MLM wards; a ward council is a democratically elected structure which should be respected by the whole community as it is part of their local governance structure. A ward councillor should not conduct himself /herself as if he/she is a representative of a political party but must work together with all communities irrespective of their political affiliations”.

The response by the IDP Office was an indication that there was a constraint relationship between the community and the Ward councillors which requires the Municipality to address the importance of both role-players in quality budgetary processes and the outcome of decision-making thereof.

4.8 SUMMARY

There is a need for the Makhado Local Municipality to establish diverse ways and platforms to engage the community in the budgeting processes. The community members should feel that they can influence the outcome of their projects to motivate them to participate. The Municipality should strengthen the mobilisation of local communities to take collective action aimed at sustainable development, and to overcome community non-involvement, by disseminating the appropriate information and involving change agents who are trusted by the local communities.

CHAPTER FIVE

FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 INTRODUCTION

The role of community participation in local municipalities is expressed through the Integrated Development Plan or review documents which guide both the community and municipality towards proper planning, municipality's politics and the administrative components to speed up service delivery. Realizing the objectives of the Municipality is in line with the provision of the Constitution of the Republic, where Section 152 says that local government should provide a democratic and accountable government for local communities, ensure the provision of services to communities in a sustainable manner, promote a safe and healthy environment as well as encourage the involvement of communities and community organizations in matters of local government.

Section 153 of the RSA Constitution (Act of 106 of 1996), states that each municipality should structure and manage its administration, budgeting, and planning processes to give priority to the basic needs of the community, thereby, promote the social and economic development of those communities.

5.2 MAJOR FINDINGS OF THE STUDY

The findings are aligned with the study objectives as indicated in Chapter 1. The role of community participation in budgetary processes is determined by different factors that are institutional, personal and constitutional. During data collection, the researcher was able to attend meetings as invited by the MLM officials when they had IDP meetings, invited by the traditional leaders from various villages to come and distribute questionnaires to the participants. Follow-up meetings were done with some members of the ward committee, particularly the Ward councillors as they alleged that they were overwhelmed with work and could not attend some of the meetings by the civic or traditional leaders.

5.2.1 The state of community participation in Makhado Local Municipality

The majority of the respondents in Part A for civic, traditional leaders and community members confirm that they have an understanding of the importance of community participation in the budgetary processes of the Municipality. The concern was that in most cases, they were not aware of the meetings as they were not invited or informed by the Ward Councillors.

The relationship among the Makhado local communities, councillors, civics and traditional leaders seemed poor. The respondents complained about the unavailability or non-attendance of meetings by councillors, poor relationships with traditional leaders, and some community members do not listen to their traditional leaders. Community members complained that when attending community meetings, they do not feel they can raise their voices freely because if they say something, it creates tension. Respondents raised the issue of lack of respect and stated that their councillors do not take them seriously; they asserted that are not respected as community members, especially, when they enquire about progress or ask for a report about identified or pending service delivery projects.

In some villages, the local communities were not aware of the existence of ward committees, councilors do not attend their community meetings, nor invite members to update them about the Municipality's IDP processes and programs, although, in some villages, the traditional leaders work together with their councillors, ward committees and civics. The researcher can confirm that the IDP Office made available the meeting invitations for various stakeholders, however, the modes of delivery of such invitations to the community members were not disclosed.

5.2.2 The Relationship Between Community Participation and Municipal Budgeting Process In Makhado Local Municipality

The findings reveal that there is a relationship between community participation and municipal budgeting processes. Municipalities are regarded as the custodians of public funds, consequently, they have been tasked with utilising these resources to address the basic needs of local communities, notably, for infrastructure, electricity, water, refuse

removal and the spatial development of localities (Govender and Reddy, 2012). In one of the selected villages in the study, the local communities complained that the Local Municipality has failed them, therefore, they have lost confidence in their councilor and ward committee to the extent that they had resolved to join hands with their local traditional leader through a joint venture of collecting money for a water borehole.

The above scenario depicts contradictions between the aim and the objectives of the Municipal Structures Act, (Act 117 of 1998), Traditional Affairs Act, (Act 41 of 2003) and the DPLG 2005; this has resulted in community participation in the Makhado Local Municipality being obstructed by disagreement and ultimately leading to the collapse of service delivery. The IDP requires that community needs be prioritised during municipal planning, therefore, the relationship between the community participation and the budgetary planning processes should be maintained and nurtured. Municipalities rely on the community to acquire the needs and the demands to integrate in IDP.

There should be a mutual relationship between councillors and the local communities through feedback. As most of the local communities cannot make it to the community meetings, for the unfinished observed projects concerning issues like - water pipelines, electricity, graveyards and roads, the councillors should explain to the communities about the budgeting processes, prioritised community projects, and the major causes of the unfinished projects, whether there is budget cut, project swapping or challenges due to unforeseen circumstances like a disaster, the community has the right to access information on matters that affect them.

5.2.3 Challenges of Community Participation in Budgetary Processes

The majority of respondents indicated that poor service delivery is one of the challenges that hinders effective participation by the community. During interviews and responses from questionnaires reveals that community is reluctant to participate in municipalities affairs including budgeting. Some of the contributory factors is that the Constitution of the Republic, 1996 is not so profound about the role of the traditional leaders in participating to local government affairs. According to the Municipal Structures Act (Act 117 of 1998),

traditional leaders (identified by the MEC) should attend and participate in the deliberations of a municipal council, although without voting power.

The Traditional Leadership and Governance Framework Act (Act 41 of 2003) provides for the functions and roles of traditional leaders, which include - assisting municipalities in the identification of community needs and facilitating the involvement of the traditional community in the development plan of the local municipality. The researcher ascertained that some traditional leaders work independently from the councilors, submit their own identified community or IDP projects without having consulted the local councillor. The members of the Makhado Local Municipality render services within the jurisdiction of the traditional authority, hence, councilors, ward committee members, civic members are members of a given traditional village, and owe their existence to the traditional leaders, long before they are elected to their respective leadership positions.

Elected community leaders are traditionally expected to be loyal to their traditional leader within their village. For the legislated framework of community participation in the Makhado Local municipal budgeting process, councillors, ward committees, and civic structures are elected by the local communities at a community meeting held, in most instances, in the traditional authority's kraal. After elections, however, the -

- Councilors feel they owe their existence to their political parties and the local municipality, not a local traditional leader.
- Ward committee members feel they owe their existence to the councillors and the local municipality, not a traditional leader.
- Civic structure members feel they owe their existence to their independent civic organization, (SANCO) and not their traditional leader.
- Traditional leaders consider themselves as custodians of traditions, own the land, have control over the local communities and do not share their leadership roles with any established or elected structure, either legislated or politically, and perceive the community structures as encroaching into their territory or areas of jurisdictions.

- *Mushrooming interest groupings*

In some villages and through the researcher's observation, in certain local communities there was little or no effort by the Municipality to involve community members in the budgeting processes rather, it has resorted to the formation of interest groups aimed at facilitating service delivery. The researcher managed to attend some meetings of these interest groupings and interviewed some of their leaders. One of the interest grouping's aims and objectives, include; helping in fast-tracking delivery of services, ensuring social justice for vulnerable groups, standing on the side of the poor and marginalised, recognising, supporting and working with community leadership, advocating for better and affordable services to the communities. The interest groups complained about several issues - service delivery, a politicized Municipality's approach in the administration of service delivery by the politicians under the ruling party (the taking up of administrative roles by the politicians in the Makhado Local Municipality), appointment of Municipality officials and the identifying of IDP projects. They advocated for more radical changes in the Makhado Local Municipality through the enforcement of the *Batho Pele* Principles.

5.2.4 Identified Community IDP Programs

The Makhado IDP document has recorded that "the municipality has developed a communication strategy to deepen democracy, assist the municipality in fulfilling its obligations; constitutional and legal mandates" (IDP 2014 /2015: 103) and (IDP, 2021 / 2021: 60). The Makhado Local Municipality's IDP priority list consisted of identified community projects around - water, electricity, roads, RDP houses and high mass community lighting. In the researched villages, it was observed that the Municipality's communication strategy is not clearly stated due to uncoordinated efforts to identify the IDP projects. Most of the projects reflected on the IDP program has been submitted by the Municipal councilors without consulting with the local communities, while some of the projects have been submitted by the traditional leaders without consulting the councilors or the civic community. Most of the identified projects have been carried forward from the

previous years, for example; electricity, water, poultry projects, fencing of graves, high mass lights, identified between the periods of 2017 and 2021 financial years.

According to the Makhado Local Municipality, some of the projects have been delayed by the Covid-19 pandemic, delayed tender advertisement, tender short-listings and in certain instances, the tenders having submitted underestimated quotations, causing delays in the implementation of project.

One of the traditional leaders in one of the villages in the study, raised concerns that the local councilor - was allowed to reside in another part of the country; soon after he was elected a councilor, “changed colours, became disrespectful”; he communicates directly with the Municipality; brought graders to work on the roads without the traditional leader’s knowledge, forcing the traditional leader to order the return of the grader to the Municipality. The expectation, however, is that the Municipality should work together with the local communities to identify needs, priorities and adopt IDP’s plans to avoid confusion among the communities.

5.3 RECOMMENDATIONS FROM THE STUDY

The researcher has outlined in this section, recommendations to the local communities, policy makers and for future research.

5.3.1. Recommendations for the society or community

Based on the findings and conclusions of the study, the following actions are recommended for implementation by the Makhado Local Municipality’s officials:

- Investments, into the Municipality, should be made very carefully, especially, regarding ward councillors’ skills development, empowerment and education.
- The Municipality should give councillors, ward committees and traditional leaders relevant and extensive on-the-job training, on matters such as - Batho Pele principles, report writing, needs identification, monitoring and prioritisation of needs, leadership, conflict management/ negotiation, literacy, and interpersonal skills.

- Councillors and ward committee members' commitment and performance should be monitored and evaluated, possibly, on a quarterly basis.
- Quality interpersonal relations should be forged between councillors and traditional leaders.
- Communities should be educated on their roles and their rights about the local Municipality's budgeting processes; they should be informed of their level and type of involvement, as well as be empowered with knowledge and skills, about their constitutional rights.
- The Makhado Local Municipality should encourage and allow the local communities to develop their skills.
- The Municipality's officials should reach out to the local communities, rather than leaving the matter to the councillors and the traditional leaders.

5.3.2. Recommendations for Policy-Makers

The policy-makers should develop and revisit their community participation strategies for effective development and monitoring strategies for the implementation of developed policies. There is a great need for the policy-makers to revisit the success and failure of the current participation techniques, through, for example, a SWOT analysis, and the procedural aspects that are recommended by the Municipal Structures Act, (Act,117 of 1998) and the Traditional Leadership and Governance Framework Act (Act 41 of 2003). The role of traditional leaders is vague in the MSA, therefore, they perceive that their inputs were taken for granted due to their limited powers as enacted from the Act.

5.3.3. Recommendations for the Makhado Local Municipality

In line with the Servqual Model as identified, the model as indicated earlier, is the research method to capture and analyse participants, perceptions, and expectations of the service. The effective implementation of IDP as it emphasises collaboration with the community when doing budgetary processes. SWOT analysis to be analysed and redress implemented. For example, the budget to be incremental and complete previous unfinished projects before embarking on new ones. Regular communication is the key

between the MLM and the community to update them on their inputs. The Makhado Local Municipality should aim to provide high-quality service, which is an important milestone for institutional survival and should adhere to Bathopele principles, which strengthen the involvement of MLM governance and the community as a requirement for the Constitution of the Republic.

5.3.4. Recommendations for Future Research

Future or further research, according to Miles (2017), must respond to research gaps. A gap is explained as an issue that has not been adequately addressed by research, which may be attributed to a lack of adequate empirical evidence to support the research argument, as well as a literature void. Therefore, this study recommends that future research to focus on the following:

- The harmonization of the Municipal Structures Act, and the Traditional Leaders Act, together with the role of the CDW.
- The role of the Municipal Structures Act (Act,117 of 1998) and the Traditional Leadership and Governance Framework Act (Act 41 of 2003) do not bring the local communities together.

5.4 CONCLUSIONS

The study has, on the whole, outlined the importance of community participation and the purpose of efficient service delivery in the Makhado Local Municipality. Based on the findings the following conclusions have been drawn:

- Community members do not fully participate or are not fully involved in the decision-making or in participating in the Makhado Local Municipal budgeting. Community involvement or participation in the municipal budgeting process and service delivery is a strong predictor or determinant of quality service delivery and community satisfaction. The empirical evidence shows that the Makhado Local Municipality is unable to manage the factors influencing community participation, service delivery, as well as community satisfaction. Unfortunately, both the ward

councillors and ward committees lack capacity; this is shown by the extensive lack of understanding by the councillors and ward committees of their duties and responsibilities. It was obvious that the training the IDP Office alleged to have been received by both the councillors and the ward committee was not effective enough for them to execute their responsibilities. This means that lack of the necessary community engagement or interpersonal skills should become part of the councillors' developmental strategy by the Makhado Local Municipality Council.

- Community participation is central in determining the success or failure of municipal plans and programmes. Lack of community participation contributes to poor co-ordination of projects which negatively affects service delivery. The findings of this study were related to challenges generally experienced by municipalities country-wide. The President of South Africa, Mr Matamela Cyril Ramaphosa during his address at the national conference which focused on local government accountability, service delivery and human rights, confirmed that there is a widening trust deficit between the state and citizens.
- The relationship or the coordinated effort between the Makhado Local Municipality and the local communities has been one of disjointed or uncoordinated effort, resulting in disorganized processes. Both the local communities, Municipal councillors and traditional leaders should be trained to follow an integrated approach, promoting a culture of commitment, while closing the gap on animosity. They should have a common view to achieve, influence and promote awareness on the effective role of community participation in the local municipal budgeting processes. Furthermore, the President emphasised that “Political contestation and infighting, lack of skills, failure to adhere to legislative prescripts, poor governance, lack of accountability, were causing instability in Municipalities and eroding the provision of services” This statement is a clear indication that service delivery protests and super corruption symbolise a barometer of public dissatisfaction with the non-delivery of services.

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APPENDIX A: LETTER REQUESTING PERMISSION TO CONDUCT RESEARCH

Box 75
SIBASA
0970

04 October 2022

The Municipal Manager
Makhado Local Municipality
Private Bag X2596
Makhado
0920

Dear Sir,

REQUEST FOR PERMISSION TO CONDUCT RESEARCH - *ROLE OF COMMUNITY PARTICIPATION IN BUDGETING IN MAKHADO LOCAL MUNICIPALITY: THE CASE OF VHEMBE DISTRICT MUNICIPALITY*

I humbly request permission to conduct research at Makhado Local Municipality. I am currently doing Master of Administration at the University of Venda, Department of Public and Development Administration. The title of my study is "*The Role of community participation in budgeting in Makhado Local Municipality*".

In order to achieve the aim of this study, the researcher sets out to realize the following objectives:

- To understand the state of community participation in Makhado Local Municipality.
- To explore the relationship between community participation and the budgeting process in Makhado Local Municipality.
- To pinpoint challenges regarding community participation in the budgeting process of the Makhado Local Municipality.
- To suggest strategies to enhance community participation in the Makhado Local Municipal budgeting process.

The research study is purely for academic purpose only. The target population is the municipal officials, ward committees, community and the traditional leaders. For clarity, please contact my supervisors; Dr Singo T.A and Dr Kone L.R. My contact details, email: cmuloiwa@gmail.com.

Yours sincerely



MR MULOIWA N C

DATE: 04 October 2021

APPENDIX B:

RESEARCH ETHICS COMMITTEE

UNIVEN Informed Consent

LETTER OF INFORMATION

Title of the Research Study : *The Role of Community Participation in Budgeting Processes at Makhado Local Municipality: The Case Study of Vhembe District Municipality.*

Principal Investigator/s/ researcher : *(Mr N.C. Muloiwa, MPM)*

Co-Investigator/s/supervisor/s : *(Dr Singo T.A, Doctor of Administration)*

Brief Introduction and Purpose of the Study: This study seeks to examine the role of the community participation in budgetary processes at the Makhado Local Municipality. Since the dawn of democracy, community participation is the key in ensuring that the municipal planning is aligned with the needs of the community.

Outline of the Procedures : *Participants is voluntary. The information provided by the participants will be treated under anonymity and confidential will be maintained. Participants are not allowed to fill their names. The survey will be through questionnaire and a follow-up interview will be conducted with selected participants. Time required will be 20 minutes.*

Risks or Discomforts to the Participant: *The researcher will ensure that there is no harm or hurt participants emotionally. The survey instrument is based on objectivity without intention to hurt any participants. Participant are encouraged to withdraw if they perceived that the researcher was biased or act in conflict of ethical consideration.*

Benefits : *(Participants will be able to acquire knowledge on the role of community in budgetary processes. Municipality will benefit from the findings of the study. The researcher will benefit as the study will be published).*

Reason/s why the Participant May Be Withdrawn from the Study: *(Participation will be withdrawn if there is non-compliance, illness, emotional hurt. No penalty will be issued for the participant should they choose to withdraw)*

Remuneration : *(No remuneration as the research is for scholarly purpose)*

Costs of the Study : *(No costs towards the study)*

Confidentiality : *(Confidentiality will be maintained as names will not be published or requested during the survey. Only codes will be used)*

Research-related Injury : *(The study has less risk, no compensation will be done)*

Persons to Contact in the Event of Any Problems or Queries: Dr Singo T.A. 0159629018/Angeline.Singo@univen.ac.za. Muloiwa, cmuloiwa@gmail.com.

University Research Ethics Committee Secretariat on 015 962 9058 /
Vanecia.Khoza@univen.ac.za

Complaints can be reported to the University Research Ethics Committee Secretariat on 015 962 9058 / Vanecia.Khoza@univen.ac.za or Whistle blowing Ethics Hotline Tollfree Telephone number: 0800212755 Email.univenhotline@tipoffs.com

General:

Potential participants must be assured that participation is voluntary and the approximate number of participants to be included should be disclosed. A copy of the information letter should be issued to participants. The information letter and consent form must be translated and provided in the primary spoken language of the research population

CONSENT

Statement of Agreement to Participate in the Research Study:

- I hereby confirm that I have been informed by the researcher, (Muloiwa, CN), about the nature, conduct, benefits and risks of this study - Research Ethics Clearance Number:
- I have also received, read and understood the above written information (*Participant Letter of Information*) regarding the study.
- I am aware that the results of the study, including personal details regarding my sex, age, date of birth, initials and diagnosis will be anonymously processed into a study report.
- In view of the requirements of research, I agree that the data collected during this study can be processed in a computerized system by the researcher.
- I may, at any stage, without prejudice, withdraw my consent and participation in the study.
- I have had sufficient opportunity to ask questions and (of my own free will) declare myself prepared to participate in the study.
- I understand that significant new findings developed during the course of this research which may relate to my participation will be made available to me.

Full Name of Participant	Date	Time	Signature
I,

(*Name of researcher*) herewith confirm that the above participant has been fully

Informed about the nature, conduct and risks of the above study.

Full Name of Researcher

..... Date..... Signature.....

Full Name of Witness (If applicable)

..... Date Signature.....

Full Name of Legal Guardian (If applicable)

..... Date..... Signature.....

Please note the following:

Research details must be provided in a clear, simple and culturally appropriate manner and prospective participants should be helped to arrive at an informed decision by use of appropriate language (grade 10 level- use Flesch Reading Ease Scores on Microsoft Word), selecting of a non-threatening environment for interaction and the availability of peer counseling (Department of Health, 2004)

If the potential participant is unable to read/illiterate, then a right thumb print is required and an impartial witness, who is literate and knows the participant e.g. parent, sibling, friend, pastor, etc. should verify in writing, duly signed that informed verbal consent was obtained (Department of Health, 2004).

If anyone makes a mistake completing this document e.g. a wrong date or spelling mistake, a new document has to be completed. The incomplete original document has to be kept in the participant's file and not thrown away, and copies thereof must be issued to the participant.

References:

Department of Health: 2004. *Ethics in Health Research: Principles, Structures and Processes*

[http://www.doh.gov.za/docs/factsheets/guidelines/ethnics/.](http://www.doh.gov.za/docs/factsheets/guidelines/ethnics/)

Department of Health. 2006. *South African Good Clinical Practice Guidelines*. 2nd Ed. Available at:[http://www.nhrec.org.za/?page_id=14.](http://www.nhrec.org.za/?page_id=14)

APPENDIX ‘C’: SURVEY INSTRUMENTS

Dear Participant,

TOPIC: THE ROLE OF COMMUNITY PARTICIPATION IN BUDGETING IN MAKHADO LOCAL MUNICIPALITY: THE CASE STUDY OF VHEMBE DISTRICT MUNICIPALITY

The purpose of this questionnaire is to obtain primary data from the participants in Makhado Local Municipality. The results of the questionnaire will be utilized only for academic purposes. All responses will be treated as confidential and will only be used for scholarly purposes. Kindly, provide or answer the following questions.

To reiterate *the instructions* to be followed when answering the questions:

It is requested to answer the questions as honestly as possible. DO NOT write your name on the questionnaire so that your answers can remain anonymous. For Likert scale questionnaire which requires rating, please indicate your answer by putting a cross in the square box.

Do not hesitate to contact Mr Muloiwa Nditsheni Calvin should a need arise for clarity of any of the questions. The contact details of the researcher are as follows; -

Tel. +27 159628549

Email. muloiwa@univen.ac.za

PART A: QUESTIONNAIRE WITH MLM COMMUNITY

Biographical information

1. Age

20 - 29	30 – 40	41 – 50	51 – 60	61 and above
---------	---------	---------	---------	--------------

2. Gender

Male	Female
------	--------

3. Marital Status

Single	Married	Divorced	Widow
--------	---------	----------	-------

4. Mother tongue

Venda	Tsonga	Pedi	Other, Specify -----
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5. Educational:

Primary	Grade 12	Three (3) year Qualification	Post Graduate Qualification	Other; specify...
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6. Occupational status:

Civic community member	Ward committee member	Traditional Leader	Unemployed	Other Specify--- --
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Use X to indicate your response:

1= strongly agree, 2= agree, 3=neutral, 4=disagree, 5=strongly disagree

ITEM	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
The local community members understand their participation role in the municipal budgeting process.					
The Makhado Local Municipality always involves local communities in the IDP or the Municipal budgeting process.					
The Makhado Local Municipality is not proactive in involving the local communities in the municipal programs, including the IDP and municipal budgeting.					
The Municipality is always accountable to the local communities in the form of imbizo, ward committees and community meetings.					
The Municipality reaches out to local communities through radio, local newspapers, ward committees and civic meetings with a view to consult with the local communities on Municipal budgeting matters.					
The local Municipality conducts workshops for communities, ward committees, civic members as a strategy to deepen the understanding of the role of community participation in the Municipal budgeting processes					
The Makhado local communities understands the rights, importance and role of participation the Municipal budgeting process.					
Service protests occur because the Municipality excludes inputs from the local					

communities in the Municipal budget or never implements them.					
The Makhado Local Municipality arranges transport for all stakeholders to attend the road shows on Municipal budgeting process					
The Municipal officials provides training to community regarding the importance of participation in municipal affairs					
The Municipality update the local communities on their budgeting programme					
How do you rate the role you played at the IDP/budget meeting you ever attended,					
The community meetings or workshops organised by ward councillor assisted in understanding our roles in the Municipal's budgeting processes.					
The local municipality is very effective in influencing community members to participate in the budget process, in the IDP and service delivery.					

PART "B": INTERVIEW GUIDE - MUNICIPAL OFFICIALS

Biographical information

1. Age

20 - 29	30 – 40	41 – 50	51 – 60	61 and above
---------	---------	---------	---------	--------------

2. Gender

Male	Female
------	--------

3. Marital Status

Single	Married	Divorced	Widow
--------	---------	----------	-------

4. Mother tongue

Venda	Tsonga	Pedi	Other, Specify -----
-------	--------	------	-------------------------

5. Educational:

Primary	Grade 12	Three (3) year Qualification	Post Graduate Qualification	Other; specify...
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a) Explain your understanding of community participation in the municipal budgeting processes.

.....

.....

.....

b) Describe how the Makhado Local Municipality encourages community participation.

.....

.....

.....

c) What are the challenges faced by the Municipality in encouraging the community to participate in budgetary processes? Please motivate.

.....

.....

.....

d) What mechanisms do you use to encourage local communities to attend Imbizo, workshops towards community participation in budgetary processes?.

.....

.....

.....

e) What strategies do you think will increase participation of local communities in budgetary processes.

.....

.....

.....

f) Are the local communities satisfied with service delivery under the Makhado Local Municipality?

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.....
.....

g) What are the desired roles to improve community participation in budgetary processes?

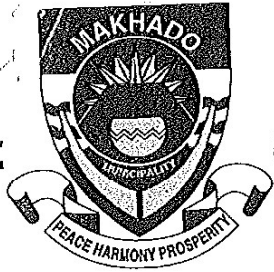
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h) In your view, do you think that the ward councillors and officials are doing enough to facilitate community participation in the Municipality? Elaborate.

.....
.....

Thank you very much for your valuable time, effort, and cooperation.

Mr N C Muloiwa (Researcher)



MAKHADO MUNICIPALITY

Vision: A dynamic hub for socio-economic development by 2050
Mission: To ensure effective utilization of economic resources to address socio-economic imperatives through mining, agriculture and tourism

INTERNAL MEMORANDUM

Ref no.: 5/3/1 & 5/4/2

Enquiries: E Nangambi

TO: THE ACTING MUNICIPAL MANAGER

FROM: CORPORATE SERVICES DEPARTMENT

(HUMAN RESOURCES DIVISION)

DATE: 10 JANUARY 2022

SUBJECT: REQUEST TO ALLOW MR MULOIWA N C A PERMISSION TO CONDUCT RESEARCH UNDER THE TITLE: THE ROLE OF COMMUNITY PARTICIPATION IN LOCAL MUNICIPAL BUDGETING IN MAKHADO LOCAL MUNICIPALITY

STRATEGIC OBJECTIVE

Good Governance and Administrative Excellence

PURPOSE

To seek approval by the Acting Municipal Manager in respect of Mr Muloiwa C N to be granted a permission to conduct study research based on the subject mentioned above.

DETAILS

Mr Muloiwa C N of student no 8400054 is currently a registered student in Masters 's degree in Public and Development Administration is hereby requesting a permission to conduct research on the role of community participation in local municipality budgeting in Makhado Local Municipality. Attached herewith please find copy of request letter on that regards marked Annexure "A" for your perusal.

COMMENT

It therefore recommended for Mr Muloiwa N C to be granted a permission to conduct the above-mentioned research, subject to best practice and conventions for students that undertake research on council's records viz.

1. Research activities will not disturb the normal operation of the Municipality.
2. Prompt and timeous arrangements must be made with the Departmental Head concern when assistance is required.
3. Copy of the research findings / thesis must be submitted to the Municipality

4. The Municipality has no power over research conducted with community members and this part will be performed with the community at their own free will.
5. Research will be for a period of six months which can be extended for a further period determined by the Acting Municipal Manager.
6. Confidential records / information must not be reflected in thesis documents.
7. The collection of data for research will be conducted based on prior arrangements to be made before the meeting with the Acting Director Development Planning.
8. The Municipality is indemnified against any claims for damages by the applicant which may result directly or indirectly from the research activity.
9. Research information may not be used for any form of publication media other than the applicant's studies expect with permission of the Municipality.
10. The Authorization is granted in line with provisions of the Municipality Access to Information Manual read with the Promotion to Access to Information Act, and the National Archives Act and approved by the relevant Head of the Department (HOD) with regards to the classification of information.

FINANCIAL IMPLICATIONS

None

POLICY

It's part of Training and Development

LEGAL IMPLICATIONS

None

RISK IMPLICATIONS

None

ENVIRONMENTAL IMPLICATIONS


To promote good Governance.

CHANGE MANAGEMENT IMPLICATIONS

It therefore recommended for Mr Muloiwa N C to be granted a permission to conduct the above-mentioned research.

CONSIDERATION (RECOMMENDATION)


It is therefore recommended that Mr Muloiwa N C be granted a permission to conduct the above-mentioned research.


.....

MR. T MANEBANEBA
SKILLS DEVELOPMENT FACILITATOR

12/01/2022
.....

DATE


.....
MR. N. DAGADA

MANAGER HUMAN RESOURCES
RECOMMENDED/ NOT RECOMMENDED

12/01/2022
DATE

.....
.....

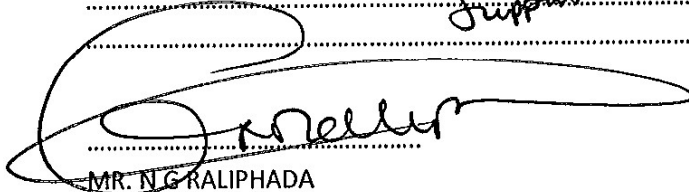

.....
MR. S G MAGUGA

ACTING DIRECTOR CORPORATE SERVICES

12/01/2022
DATE

RECOMMENDED / NOT RECOMMENDED

Supposed
.....
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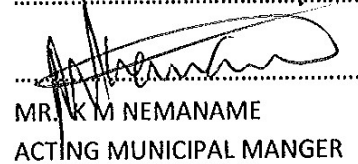

.....
MR. N G RALIPHADA

ACTING CHIEF FINANCIAL OFFICER

2022/01/13
DATE

APPROVED / ~~DECLINED~~

Approved
.....
.....


.....
MR. K M NEMANAME

ACTING MUNICIPAL MANGER

2022/01/13
DATE

SUBJECT: REQUEST TO ALLOW MR MULOWA N C A PERMISSION TO CONDUCT RESEARCH UNDER
THE TITLE: THE ROLE OF COMMUNITY PARTICIPATION IN LOCAL MUNICIPAL BUDGETING IN
MAKHADO LOCAL MUNICIPALITY

NAME OF RESEARCHER/INVESTIGATOR:
Mr NC Muloiwa

STUDENT NO:
8400054

PROJECT TITLE: **The role of community participation in municipal budgeting in Makhado Local Municipality.**

ETHICAL CLEARANCE NO: MCL/21/PDN/04/2109

SUPERVISORS/ CO-RESEARCHERS/ CO-INVESTIGATORS

NAME	INSTITUTION & DEPARTMENT	ROLE
Prof MJ Maluniso	University of Venda	Supervisor
Mr PH Munzhedzi	University of Venda	Co - Supervisor
Mr NC Muloiwa	University of Venda	Investigator – Student

Type: Masters Research

Risk: Minimal risk to humans, animals or environment (Category 2)

Approval Period: September 2021 – September 2023

The Research Ethics Social Sciences Committee (RESSC) hereby approves your project as indicated above.

General Conditions

While this ethics approval is subject to all declarations, undertakings and agreements incorporated and signed in the application form, please note the following.

- The project leader (principal investigator) must report in the prescribed format to the REC:
 - Annually (or as otherwise requested) on the progress of the project, and upon completion of the project
 - Within 48hrs in case of any adverse event (or any matter that interrupts sound ethical principles) during the course of the project.
 - Annually a number of projects may be randomly selected for an external audit.
- The approval applies strictly to the protocol as stipulated in the application form. Would any changes to the protocol be deemed necessary during the course of the project, the project leader must apply for approval of these changes at the REC. Would there be deviation from the project protocol without the necessary approval of such changes, the ethics approval is immediately and automatically forfeited.
- The date of approval indicates the first date that the project may be started. Would the project have to continue after the expiry date; a new application must be made to the REC and new approval received before or on the expiry date
- In the interest of ethical responsibility, the REC retains the right to:
 - Request access to any information or data at any time during the course or after completion of the project.
 - To ask further questions; Seek additional information; Require further modification or monitor the conduct of your research or the informed consent process.
 - Withdraw or postpone approval if:
 - Any unethical principles or practices of the project are revealed or suspected.
 - It becomes apparent that any relevant information was withheld from the REC or that information has been false or misrepresented.
 - The required annual report and reporting of adverse events was not done timely and accurately.
 - New institutional rules, national legislation or international conventions deem it necessary

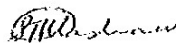
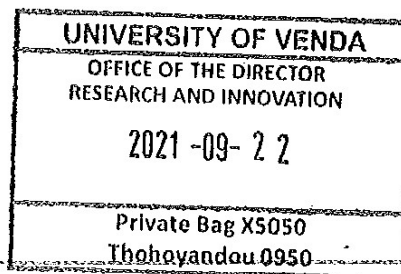
ISSUED BY:

UNIVERSITY OF VENDA, RESEARCH ETHICS COMMITTEE

Date Considered: July 2021

Name of the RESSC Chairperson of the Committee: Prof Takalani Mashau

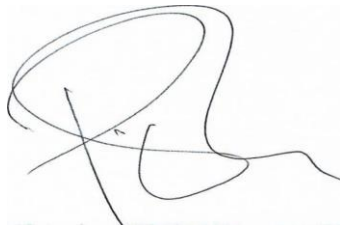
Signature:

PROOF OF EDITING

10 June, 2023

This is to certify that I, Dr P Kaburise, have proofread the dissertation titled - **THE ROLE OF COMMUNITY PARTICIPATION IN BUDGETING, IN MAKHADO LOCAL MUNICIPALITY, LIMPOPO PROVINCE** - by Nditsheni Calvin Muloiwa (student number: 840054). I have indicated some amendments which the student has undertaken to effect before the final dissertation is submitted.



Dr P Kaburise (0794927451/ 0637348805; email: phyllis.kaburise@gmail.com)

Dr P Kaburise: BA (Hons) University of Ghana (Legon, Ghana); MEd University of East Anglia (Cambridge/East Anglia, United Kingdom); Cert. Teaching English as a Foreign Language (Cambridge University, United Kingdom); Cert. English Second Language Teaching, (Wellington, New Zealand); PhD University of Pretoria (South Africa).

NAME OF RESEARCHER/INVESTIGATOR:

Mr NC Muloiwa

STUDENT NO:

8400054

PROJECT TITLE: **The role of community participation in municipal budgeting in Makhado Local Municipality.**

ETHICAL CLEARANCE NO: **MCL/21/PDN/04/2109**

SUPERVISORS/ CO-RESEARCHERS/ CO-INVESTIGATORS

NAME	INSTITUTION & DEPARTMENT	ROLE
Prof MJ Mafunisa	University of Venda	Supervisor
Mr PH Munzhedzi	University of Venda	Co - Supervisor
Mr NC Muloiwa	University of Venda	Investigator – Student

Type: **Masters Research**Risk: **Minimal risk to humans, animals or environment (Category 2)**Approval Period: **September 2021 – September 2023**

The Research Ethics Social Sciences Committee (RESSC) hereby approves your project as indicated above.

General Conditions

While this ethics approval is subject to all declarations, undertakings and agreements incorporated and signed in the application form, please note the following.

- The project leader (principal investigator) must report in the prescribed format to the REC:
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 - It becomes apparent that any relevant information was withheld from the REC or that information has been false or misrepresented.
 - The required annual report and reporting of adverse events was not done timely and accurately,
 - New institutional rules, national legislation or international conventions deem it necessary

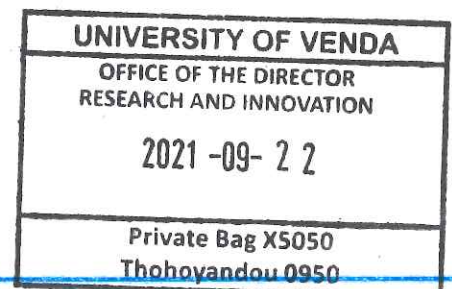
ISSUED BY:

UNIVERSITY OF VENDA, RESEARCH ETHICS COMMITTEE

Date Considered: July 2021

Name of the RESSC Chairperson of the Committee: Prof Takalani Mashau

Signature:

University of Venda

PRIVATE BAG X5050, THOHOYANDOU, 0950, LIMPOPO PROVINCE, SOUTH AFRICA

TEL: EPHONE (015) 962 854/8313 FAX: (015) 962 8960


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NDITSHENI CALVIN MULOIWA
STUDENT NO 8400054

MASTERS DISSERTATION SUBMITTED IN FULFILMENT FOR THE DEGREE OF
MASTER OF ADMINISTRATION

IN THE
DEPARTMENT OF PUBLIC AND MANAGEMENT ADMINISTRATION
FACULTY OF MANAGEMENT, COMMERCE AND LAW

UNIVERSITY OF VENDA

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THE ROLE OF COMMUNITY PARTICIPATION IN MUNICIPAL BUDGETING IN
MAKHADO LOCAL MUNICIPALITY: A CASE STUDY OF VHEMBE DISTRICT
MUNICIPALITY

BY

NDITSHENI CALVIN MULOIWA
STUDENT NO 8400054

MASTERS DISSERTATION SUBMITTED IN FULFILMENT FOR THE DEGREE OF
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IN THE
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