

Uptown Grant Program Guidelines

February 2023

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Acknowledgement of Country

The NSW Government acknowledges the Aboriginal and Torres Strait Islander people across the State and their continued connection to their lands, waters, and culture. We respect Elders past and present and the roles that first nations artists play in contributing to their culture.

Overview

The Uptown Program is designed to fast-track the formation of local business communities and facilitate the growth of their districts into vibrant going out hubs in line with the NSW Government's 24-Hour Economy Strategy for Greater Sydney.

Download the strategy

The NSW Government has committed \$5 million to the Uptown Program to support the development of going-out districts across Greater Sydney.

This document contains information about how to make an application to the Uptown Grant Program (the Program). You should read this document in full before you apply for funding. It sets out:

- the purpose of the grant program
- eligibility requirements
- how applications are assessed
- · how funding recipients will be monitored and evaluated
- responsibilities and expectations for the Program.

The Program is open to eligible applicants (see 'Eligibility criteria' below) from distinct geographical districts within Greater Sydney that demonstrate a unique identity and entertainment offering and a sustainable operating model.

The Program, developed by the Office of the 24-Hour Economy Commissioner (O24HEC) and administered by Create NSW, both within the Department of Enterprise, Investment and Trade (DEIT), offers up to \$200,000 (ex GST) of seed funding to eligible District Teams to establish and coordinate their District and for consumer engagement.



Type of grant opportunity

This is an open competitive grant program.

Key dates

Program	Open
Uptown Grant Program open	7 February 2023
Uptown Grant Program closes	2pm AEST 9 March 2023
Uptown Grant recipients notified	May 2023
Program completion	12 months from receipt of the grant

Uptown Grant Program objectives

The Uptown Grant Program aims to establish self-sustaining districts that have a distinct identity and offering by:

- installing a co-ordination function for effective District management, and
- building consumer engagement and connection with the District.

The Program will deliver this objective by providing seed funding to teams of aligned local business communities (District Teams) to support them with the establishment and coordination of their District, and consumer engagement activities.



Districts

Districts are distinct local geographical areas (e.g., high streets or blocks of streets) that have a unique identity and diverse cultural and entertainment offerings across multiple venues and locations. Districts can cross local government borders. Applicants will be asked during the application process to identify the geographical boundary of their District, noting that funding cannot be used for activities outside of the approved District.

District Teams

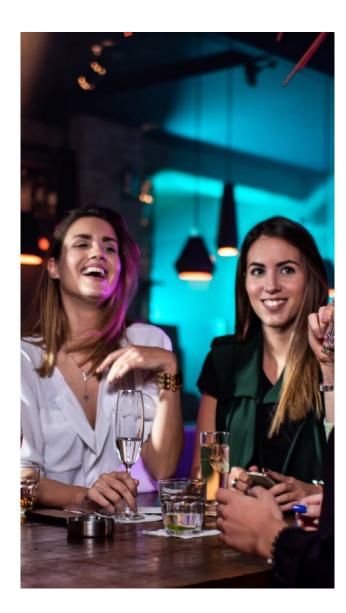
A District Team is made up of five or more local businesses and other organisations that are aligned under a unified identity as a means of engaging residents in and visitors to a District.

Grant funding

District Teams can apply for seed funding valued at up to \$200,000 but no less than \$100,000, excluding GST.

The Program aims to provide funding to Incorporated Associations and Alternative or Proposed Entities.

The eligible activities under each deliverable are further described below.



Eligibility criteria

District Teams that meet the following eligibility criteria can apply:

- are an Incorporated Association or an Alternative or Proposed Entity, and
- are in an eligible Local Government Area (LGA).

The eligibility criteria are further described below.

Entity requirements

Entity type	Entity requirements
Incorporated	To be eligible to apply, the incorporated association must:
Association	 have an applicable Australian Business Number (ABN)
	ullet be an incorporated association at the time of application
	 be registered for GST
	ullet be able to execute a Funding Agreement with the NSW Government if successful.
Alternative or	To be eligible to apply, the Alternative or Proposed Entity must:
Proposed Entity	 be represented by a lead applicant with an applicable Australian Business Number (ABN)
	ullet include a minimum of five businesses (inclusive of the lead applicant)
	• have or will obtain an applicable Australian Business Number (ABN)
	ullet be or can become registered for GST
	• be able to execute a Funding Agreement if successful.
	Please note that District Teams proposing to become an incorporated association should apply under the 'Alternative or proposed entity' stream.

NOTE: District Teams should seek advice from their legal, business, and financial advisors to determine the eligibility and suitability of an entity type before applying for the Program.

The NSW Government cannot provide District Teams with legal, business or financial advice about entity types.

Ineligible entities for the Program include:

- an individual (including sole traders)
- partnerships
- businesses that are insolvent
- · Australian or NSW Government agencies, State Owned Corporations, or statutory authorities
- Local Government Authorities or their Section 355 Committees.



Eligible Local Government Areas (LGA)

Eligible entities representing a District Team must be located within one or more of the following eligible LGA in Greater Sydney:

Bayside Council 12. City of Hawkesbury 23. City of Parramatta 1. 2. Blacktown City Council 13. The Hills Shire 24. City of Penrith З. Blue Mountains City Council 14. Hornsby Shire 25. City of Randwick Municipality of Burwood 4. 15. Municipality of Hunter's Hill 26. City of Ryde 5. Camden Council 16. Inner West Council 27. Municipality of Strathfield 6. Campbelltown City Council 17. Ku-ring-gai Council 28. Sutherland Shire 7. City of Canada Bay 18. Lane Cove Council 29. City of Sydney 8. City of Canterbury-Bankstown 19. City of Liverpool 30. Waverley Council 9. Cumberland City Council 20. Mosman Council 31. City of Willoughby 10. Fairfield City Council 21. North Sydney Council 32. Municipality of Woollahra 11. **Georges River Council** 22. Northern Beaches Council 33. Wollondilly Shire

Number of applications

You can only submit one application for your District Team.

A business is eligible to participate in only one District Team, with the exception of businesses operating multiple venues under one ABN. Businesses operating multiple venues under one ABN are eligible to participate in more than one District Team, provided that:

- each venue participates in only one District Team
- each venue operates at a different address
- the venue name and address are specified in the application form, in addition to the business name.

Maximum and minimum grant funding

Eligible District Teams can apply for up to \$200,000 (ex GST), but no less than \$100,000 (ex GST).

Activities to be funded

Only eligible activities may be funded under the proceeds of a grant under the Program.

Eligible activities

Eligible activities are set out in the table below.

Eligible activities	Deliverables
1. Establishment and coordination	A minimum of 50% of the total allocated funding must be spent on establishing and coordinating your District. This activity may take the form of:
	 salary/wages and entitlements for employees specifically engaged for the project i.e. the direct employment of a staff member to manage the coordination of your District and its activities
	 contract employment of a staff member(s) to manage the coordination of your District and its activities
	 third party professional services to manage the coordination of your District and its activities.
	NOTE: The staff member may be employed by either the Incorporated Association, Alternative or Proposed Entity or a member business that is reimbursed.
	Businesses will be required to provide evidence of any payments relating to the above activities. Payments must be in line with relevant standards, industry rates and awards (if applicable).
2. Consumer engagement	The remaining funding may be used for marketing and promotional activities to increase consumer awareness and engagement with the District (excluding consumer events and activations). This activity may take the form of:
	 advertising and/or marketing campaign (including design and production costs)
	public relations
	website development
	 consumer-facing engagement tool(s)
	• trade events.



Ineligible activities

The following activities are ineligible for funding under the proceeds of a grant under the Program.

- Consumer events and activations
- Rent and utilities
- Maintenance and repairs
- Capital works
- Equipment
- Fundraising/prizes
- Education
- Filmmaking, screen production, mainstream animation or film festivals
- Activity that constitutes the normal course of business for District Team members
- Activity that takes place outside of the eligible District
- Activity that takes place after the end of the grant funding period.

Application requirements

You will need to provide as part of your application:

- the total grant amount requested
- a District Team profile including a list of the number, names and details of businesses involved
- evidence that your District Team:
 - is represented by an Incorporated Association including your membership, constitution, and ABN or
 - is or will be represented by an Alternative or Proposed Entity
- a nominated lead representative for your District Team, including contact information and relevant identity documentation
- a description of the geographical boundary of your District including the LGA(s) in which the District is located
- a clear and concise District vision
- evidence of current partnerships and/or a plan to identify and develop future partnerships, to illustrate a sustainable approach beyond this seed funding
- a well substantiated budget plan for how you will spend the grant, including marketing costs for planned brand assets and details of any co-contributions to the activity
- how you will manage risks and governance.

Please note that failure to provide this information may result in the application being deemed as ineligible or non-conforming and may not be considered at DEIT's absolute discretion.

The application form will include access to templates to assist with the following:

- project budget
- constitution for Incorporated Associations
- risk management plan
- project plan.

Assessment criteria

Your application will be assessed against the following five assessment criteria: composition, governance and budget, vision, use of funds, and longevity.

You will be required to provide the following information to demonstrate and substantiate how your application meets these criteria:

Criteria and weighting	Description	What you need to provide
Composition (20%)	Demonstrate diversity within the	Details of the membership of the District Team including a breakdown of:
	incorporated District Team's membership and/or remit.	 the names of the businesses involved
		the sectors represented.
Governance and budget (20%)	Evidence of the Incorporated	Evidence of corporate documents and existing governance arrangements (to the satisfaction of DEIT)
	Association or Alternative or Proposed Entity and the financial budget of	Evidence of the budget breakdown and expenditure plan (timeline) for the seed funding within a 12-month period on Eligible Activities for the District.
	the proposed activities to be undertaken.	Evidence of consideration given to challenges and risks and how they will be managed and governed by the District Team in the short and long term.
		Alternative or Proposed Entities must demonstrate in their application that they are, or intend to become, an entity structure that has appropriate membership and governance arrangements in place (to the satisfaction of DEIT).
		The membership and governance arrangements will be assessed by DEIT (in its absolute discretion) but should address at a minimum the following:
		 details of the members and membership structure
		 process to manage liability of the individual members
		 process to appoint an authorised representative and contact details of the authorised representative
		 process to agree on key decisions
		 process to manage financial obligations (including in relation to receiving funding to a bank account and management and distribution of funding)
		 meetings and record keeping
		 process to ensure the entity complies with legal and regulatory obligations (if required)
		 financial reporting obligations (if required).

Vision (20%)	Demonstrate the District Team's vision and approach to delivering it.	 A vision statement for the District that summarises the District's aims and a high-level framework of how the District Team will deliver it. The vision should include: a future character or identity statement for the District description of existing and/or desired audience/s.
Use of funds (20%)	Demonstrate alignment between the District Team's vision and the objectives of the Uptown Grant Program (i.e., to create self- sustainable districts that have a distinct identity and offering, coordination function in place, and strong brand engagement with consumers).	 Evidence of how the District Team: will establish and utilise its coordination function, including a summary of activities to be undertaken (e.g., meeting co-ordination, partner identification, business networking and any other action areas identified in the Vision) will build consumer awareness and engagement with the district.
Longevity (20%)	Demonstrate capacity to secure partnerships and other revenue streams.	Evidence of how your District Team will employ strategies to identify, attract and engage sponsors, partners, councils and other government agencies, including evidence of any past or current partnerships (this may include activities of individual members of the District Teams).

Where an applicant does not provide the required information identified above, DEIT reserves the right to:

- provide the applicant with the opportunity to provide the required information within probity requirements, or
- assess the application on the basis of the information provided, or
- deem the application to be non-conforming and set it aside from further consideration, including where the application is considered not viable due to unsatisfactory governance.

Other relevant factors and risks may also be considered, as determined by DEIT, in its sole discretion, including:

- assessment of the applicant's management, its directors and officers and entities or individuals that exercise control over an applicant against fit and proper eligibility criteria
- assessment of other factors that may cause applicants to be unsuitable for support, such as any personnel or business activities that could cause reputational or other risk to the NSW Government.

Application and assessment process

Confirmation

Once you submit your application, you will receive an email confirmation from our secure online grants system.

Applications received after the closing date and time will be considered late and extension or late submissions will not be accepted.

Eligibility check

Your application will then be checked for eligibility against the published Eligibility Criteria.

If eligible, your application will proceed to the next assessment stage.

If ineligible, you will be advised via email within 14 days of the closing date and your application may not proceed to assessment.

DEIT reserves the right to provide applicants with an opportunity to provide clarification or additional information regarding eligibility requirements, as long as the principles of probity are not breached. Incomplete applications will be deemed ineligible unless otherwise determined by DEIT.

Governance review

DEIT or a nominated advisor will review and provide advice to the Assessment Panel on how an application made by an Incorporated Association or Alternative or Proposed Entity meets the Governance criteria after the Eligibility Criteria is met. This is to ensure sufficiently robust governance and accountability in the operating model.

Assessment stage 1

The Assessment Panel will then assess all eligible applications against the published Assessment Criteria.

The Assessment Panel will be chaired by DEIT and include senior representatives from at least two different NSW Government agencies. External experts/ advisors may be invited to provide advice as part of the assessment process.

Assessment stage 2

The Assessment Panel scores will be amalgamated and presented at an assessment meeting to determine their final recommendations. They will consider the assessment criteria, the demographics, distribution, range, and scale of the initial recommendations.

This may include prioritising applicants, individuals and activities with outcomes that address and ensure equity and the best outcomes for NSW Government investment. DEIT may also request further advice and/or clarification from applicants during the assessment process.

You are not guaranteed funding, or the full funding amount requested, even if your application meets the Assessment Criteria.

Recommendations

Final recommendations are submitted for the consideration of the Secretary, DEIT.

Conflicts of interest

Any conflicts of interest will be managed in accordance with NSW Government Grants Administration Guide.

A conflict of interest, or perceived conflict of interest, may be identified if staff, any member of a committee or advisor and/or you or any of your personnel:

- has a professional, commercial, or personal relationship with a party who can influence the application selection process, or
- has a relationship with, or interest in, an organisation, which is likely to interfere with or restrict the applicants from carrying out the proposed activities fairly and independently, or
- has a relationship with, or interest in, an organisation from which they will receive personal gain because the organisation received a grant under the grant program.

You will be asked to declare, as part of your application, any perceived or existing conflicts of interests or that, to the best of your knowledge, there is no conflict of interest.

If you later identify an actual, apparent, or perceived conflict of interest, you must inform DEIT immediately.

NSW Government staff, committee members and other officials including the decision maker must declare any conflicts of interest and are managed as per the DEIT Code of Ethics and Conduct and the Grants Administration Guide.

Application results

All applicants will be notified of the outcome of their applications under embargo as soon as possible after an application is approved.



Successful applications

Under embargo

When applicants are notified under embargo, they are not permitted to publicise the outcome until the official announcement has been made by the relevant Minister or by the Office of the 24-Hour Economy Commissioner within DEIT. The embargo period is taken seriously and failure to comply may impact your current or future funding eligibility.

Funding payment

If your application is successful, you will be sent a Funding Agreement (contract). This outlines the conditions of funding, how you will be paid and your grant reporting requirements.

80% of the funding will be paid on execution of the Funding Agreement and 20% on completion of the first Deliverable (see page 8). To qualify for the second payment, Districts must provide a progress report. A sample progress report can be found at <u>Appendix 1</u>

The Funding Agreement will include project scope of works and project conditions and sets out payments and the expected activities to qualify for them.

Payment will not be made until any former DEIT outstanding acquittals have been submitted.

Please refer to <u>Contracts and Payments</u> information for the process regarding successful applications.

Acquittal

Successful applicants will be required to submit final reporting on their project outcomes to acquit their funding. This reporting will include evidence of Eligible Activities, measures of success including reporting against the grant criteria and impact. A sample acquittal report is included at <u>Appendix II a</u>. A sample final project status report is included at <u>Appendix II b</u>

Grant recipients who do not complete satisfactory final reporting and/or fail to provide evidence of funds being expended for the purpose for which they were intended, may be required to repay funds.

Acknowledgement of NSW Government support

All recipients of NSW Government funding should acknowledge this financial support as per the Funding Acknowledgement Guidelines for Recipients of NSW Government Grants available at nsw.gov.au/branding#toc-sponsorship-and-fundingacknowledgement

The NSW Government logo should be used on all materials related to grants provided to the project. Whenever the logo is used, the publication must also acknowledge the NSW Government.

If a grantee makes a public statement about a project funded under the program, we require the grantee to acknowledge the program and the support provided.

Evaluation and audit

The Program will be evaluated to measure how well the outcomes and objectives have been achieved. We may use information from your application and reports for this purpose. We may also interview you or ask you for more information to help us understand how the program impacted your organisation and to evaluate how effective the program was in achieving its outcomes.

We may contact your organisation up to three years after you receive the final grant payment associated with the Program for more information to assist with this evaluation.

DEIT and the NSW Audit Office reserves the right to undertake an audit of Program funding and support within seven years of the grant agreement being signed. Tracking and reporting will be a requirement of the grant agreement.

Enquiries and feedback

For further information or clarification, please contact DEIT staff between 9.00am - 5.00pm Monday to Friday on: Ph: (02) 8289 6520 Email: <u>uptown@create.nsw.gov.au</u>

Please contact staff well before the closing dates.

We may publish answers to your questions on our website under Supplementary questions and answers.

If you do not agree with the way your enquiry or complaint has been handled, you may wish to contact the NSW Ombudsman. The NSW Ombudsman will not usually investigate a complaint unless the matter has been first raised directly with DEIT.

NSW Ombudsman Level 24 580 George Street Sydney NSW 2000

When you are notified by email of the outcome of your unsuccessful application, you will also be provided a link to book in an optional online feedback session with DEIT.

Application help

There are a range of <u>resources and templates</u> to help you prepare your application.

If your district program involves working or engaging with Aboriginal communities, artists and/or arts and cultural workers please refer to the <u>NSW Aboriginal Arts</u> <u>and Culture Protocols</u> for guidance. Just as Aboriginal culture is living and continues to evolve, these Protocols have been developed to be a living document.

DEIT staff are available to provide technical advice and general information to potential applicants on the interpretation of these guidelines, including the types of activity eligible for funding and support with the online application process. DEIT staff cannot help directly with your application. To maintain a fair and equitable process, staff cannot edit or correct any applications or provide advice on the content or choices required against the Assessment Criteria.

Accessibility, inclusion and support

The NSW Government is committed to improving accessibility to all our funding programs.

If you are an applicant with disability or who is deaf, and you require this information in a format which is accessible to you, or if you require this information in another language, you can contact us on (02) 8289 6520 between 9.00am and 5.00pm Monday to Friday (except on public holidays).

The National Relay Service numbers are:

- **TTY users:** Phone 133 677 then ask for (02) 8289 6520.
- **Speak and Listen users:** Phone 1300 555 727 then ask for (02) 8289 6520.

Language interpreting service

If English is not your first language and you would like to speak to Create NSW staff about the guidelines or application form, we can arrange an interpreting service to support this communication.

Arabic	إذا ذنت تحتاج إلى هذه المعلومات بصيغه اسهل للقراءة او بلغتك الام، او إذا ذنت تحتاج إلى مساعدة في تقديم طلبك، يرجى الاتصال بنا بين الساعة 9 صباحاً و5 مساءً من الإثنين إلى الجمعة
Traditional Chinese	如果您需要我們以更容易獲取的格式或您的母語提供這些資訊,或者您在申請中需要任何幫 助,您可以在週一至週五上午9時至下午5時之間同我們聯絡
Simplified Chinese	如果您需要我们以更容易获取的格式或您的母语提供这些信息,或者您在申请中需要任何帮助,您可以在周一至周五上午9时至下午5时之间同我们联系
Filipino	Kung kailangan mo ang impormasyong ito sa madaling ma-access na format o sa iyong unang wika, o kung kailangan mo ng anumang tulong sa iyong aplikasyon, maaari kang makipag-ugnay sa amin sa pagitan ng ika-9 ng umaga at ika-5 ng hapon Lunes hanggang Biyernes
Greek	Εάν χρειάζεστε αυτές τις πληροφορίες σε πιο προσιτή μορφή ή στην πρώτη σας γλώσσα, ή αν χρειάζεστε βοήθεια με την αίτησή σας, μπορείτε να επικοινωνήσετε μαζί μας από 9πμ έως 5μμ, Δευτέρα έως Παρασκευή
Hindi	यदि आपको यह जानकारी अधिक सुलभ प्रारूप (फॉर्मेट) में या अपनी पहली भाषा में चाहिए, या यदि आपको अपने आवेदन के साथ किसी भी सहायता की आवश्यकता है, तो आप सोमवार से शुक्रवार सुबह 9 बजे से शाम 5 बजे के बीच हमसे संपर्क कर सकते हैं।
Italian	Se hai bisogno di queste informazioni in un formato più accessibile o nella tua prima lingua, o se ti serve assistenza con la domanda, puoi contattarci dal lunedì al venerdì tra le 9 e le 17
Korean	열어 보기 쉬운 포맷이나 본인의 모국어로 이 정보를 보고 싶거나, 신청 과정에 무슨 도움이라도 필요하시면 월요일부터 금요일 오전 9시부터 오후 5시 사이에 연락하시면 됩니다
Macedonian	Ако оваа информација ви треба во подостапен формат или на вашиот прв јазик, или ви треба помош околу вашата апликација, може да не́ контактираме меѓу 9 наутро и 5 попладне од понеделник до петок.
Portuguese	Se necessitar desta informação num formato mais acessível ou na sua língua materna, ou se necessitar de qualquer assistência com o seu pedido, pode contatar-nos entre as 9:00 e as 17:00 horas, de segunda a sexta-feira.
Spanish	Si necesita que esta información esté en un formato más accesible o en español, o si necesita asistencia con su solicitud, puede ponerse en contacto con nosotros de lunes a viernes entre las 9 y las 17 hrs.
Thai	หากคุณต้องการข้อมูลนี้ในรูปแบบที่สามารถเข้าถึงได้ง่ายขึ้นหรือเป็นข้อมูลในภาษาแรกของคุณ หรือหากคุณต้องการความช่วยเหลือเกี่ยวกับใบสมัครของคุณ คุณสามารถดิดต่อเราได้ วันจันทร์ถึงวันศุกร์ ระหว่างเวลา 9.00 น. ถึง 17.00 น.
Turkish	Bu bilgilere daha erişilebilir bir formatta veya ana dilinizde ihtiyacınız varsa veya başvurunuzla ilgili herhangi bir yardıma ihtiyacınız varsa, Pazartesi-Cuma günleri 09:00-17:00 saatleri arasında bizimle iletişime geçebilirsiniz.
Vietnamese	Nếu quý vị cần thông tin này ở dạng dễ đọc hơn hoặc bằng tiếng mẹ đẻ của mình, hoặc nếu cần được trợ giúp về bất cứ điều gì với đơn xin của mình, quý vị có thể liên hệ với chúng tôi trong khoảng thời gian từ 9 giờ sáng đến 5 giờ chiều, từ Thứ Hai đến Thứ Sáu



Privacy

We treat your personal information according to the DEIT Privacy Management Plan and the *Privacy and Personal Information Protection Act* 1998. This includes letting you know:

- what personal information we collect;
- why we collect your personal information; and
- who we give your personal information to.

Your personal information can only be disclosed to someone for the primary purpose for which it was collected unless an exemption applies.

DEIT may also use or disclose information about Uptown Accelerator applicants under this opportunity for reporting purposes.

As per the Premier's Memorandum (M2022-07 Grants Administration Guide), information related to grants awarded must be published within 45 days after the grant agreement takes effect. Information that must be published includes the recipient name, location, delivery location and funding amount. This information will be published on the NSW Government Grants and Funding Finder at <u>nsw.gov.au/grants-and-funding</u>

Government Information (Public Access) Act 2009 (NSW)

Applicants should be aware that information submitted in applications and all related correspondence, attachments and other documents may be made publicly available under the *Government Information (Public Access) Act 2009* (NSW). Information that is deemed to be commercially sensitive will be withheld. The *Government Information (Public Access) Act 2009* (NSW) makes government information accessible to the public by:

- requiring government agencies to make certain sorts of information freely available
- encouraging government agencies to release as much other information as possible
- giving the public an enforceable right to make access applications for government information
- restricting access to information only when there is an overriding public interest against disclosure.

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Every effort has been made to ensure that this publication is free from error and/or omission at the date of publication. The authors, publisher and any person involved in the preparation of this publication take no responsibility for loss occasioned to any person acting or refraining from action because of information contained herein.

W nsw.gov.au/uptown

