**Notice to Proceed (NTP)**

A **Notice to Proceed (NTP)**must be submitted to SPS through PERA.

**What is an NTP?**

A NTP (sometimes referred to as an "advance account") is used when you need to spend funds but the agreement has not yet been finalized.

An award is established allowing work to begin and costs to be properly allocated.

* When the award has not been finalized yet.
* There is reasonable certainty that the award will be forthcoming, as determined by the requesting department.
* Necessary expenditures will be allowable under the anticipated award terms and start/end dates.

**Who requests the NTP?**

The departmentrequests the NTP, and is financially responsibleif for any reason the resulting award does not cover the costs incurred during the NTP period.

The departments should also be aware that the sponsor will not be invoiced during the NTP period. If you believe the sponsor expects an invoice, please alert your SPS Post Award Account Management Funding Administrator when processing the NTP request.

**How does the department request an NTP?**

A **NTP**must be submitted to SPS via the Notice to Proceed request process in PERA.

**The information required:**

* Total amount of NTP.
* How many accounts (PI, Co-PI & their Responsible Cost Centers)?
* Period for the NTP (start and end dates) to be established at the direction of the requesting department.

**PI/Department Approval:**

* Prior to submission of the request in PERA, you will obtain appropriate approvals from the PI, Finance and Department Heads.

**How does a NTP get approved?**

Based upon the information provided in the NTP request and the associated proposal and/or agreement, SPS may approve the NTP request provided that all relevant compliance factors have been satisfactorily addressed.

Specifically:

* All human, animal, and other regulatory compliance approvals have been obtained, if applicable.  (SPS Post Award staff may grant an exception, in limited circumstances and if allowed by the sponsor, upon the Principal Investigator's confirmation that no such regulated activity will occur during the NTP period.)
* All conflicts of interest have been resolved or managed, if applicable.
* All applicable compliance training requirements have been met.
* Please also note that NTP’s are not appropriate for projects that are subject to publication restrictions, foreign national restrictions, export control regulations, or data security requirements. In such circumstances, appropriate protocols must be put in place (e.g., Technology Control Plans and/or Data Security Plans) before work can commence.

Any changes in the applicability or status of the above compliance factors must be reported immediately to SPS Post Award.  SPS reserves the right to revoke a NTP if a previously unidentified compliance factor is reported to be newly applicable.  Federal sanctions may also apply.

The department requesting the NTP is financially responsible if for some reason an acceptable agreement/award that authorizes funding during the NTP period is not fully executed.