

**OSA-Connect Instructions  
For  
Local Public Bodies  
Who Submit  
An Agreed Upon Procedure Contract  
Or  
A Tier 1 or Tier 2 Certification**



**State of New Mexico  
Office of the State Auditor**

4/14/2023

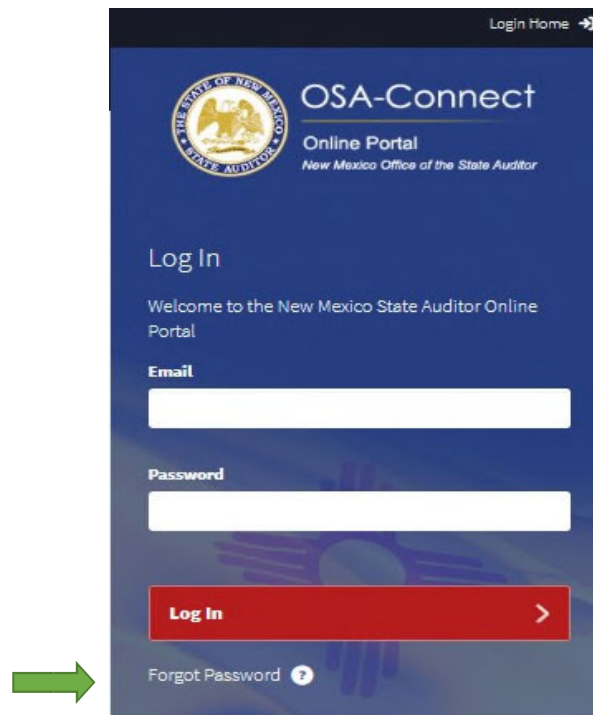
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## Getting Started

Welcome to OSA-Connect.

1. You can find the OSA-Connect website at [www.osa-app.org](http://www.osa-app.org)  
This will take you to the login screen. You may want to bookmark this site for future reference.
2. If you have forgotten your password, please click on the “Forgot password link at the bottom, and an email with a link will be sent to the email address that was provided to us.



The screenshot shows the OSA-Connect login portal. At the top right is a 'Login Home' link with a right arrow. The header features the New Mexico State Auditor's seal and the text 'OSA-Connect Online Portal' and 'New Mexico Office of the State Auditor'. Below this is a 'Log In' section with a welcome message. There are input fields for 'Email' and 'Password'. A red 'Log In' button with a right arrow is positioned below the password field. At the bottom, there is a 'Forgot Password' link with a question mark icon. A green arrow points to this link from the left.

## Quick Reference: Status Codes

### Status Code

### Meaning

“Submitted”

A certification was submitted.

“In Progress”

The certification was not approved, and further action is needed.

“Preliminary Approval”

The certification received an OSA preliminary approval.

“Pending Upload Review”

The signed certification was successfully uploaded.

“Executed”

OSA concurred with the signed certification.

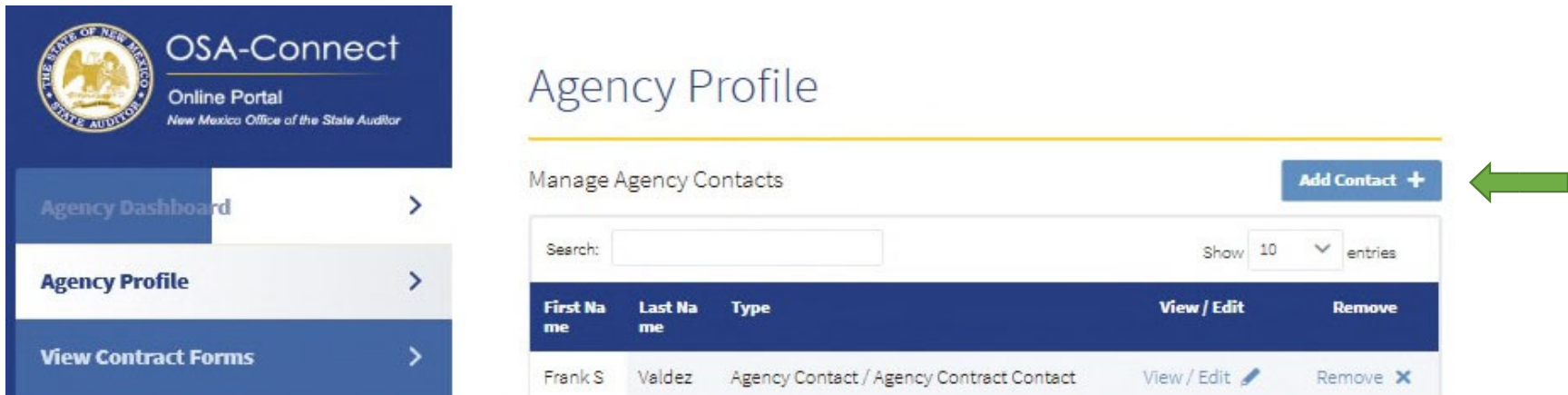
Last Updated ▾	Fiscal Year ▾	Last Updated By ▾	Type ▾	Status ▾	Action
				Executed	
				Pending	
				Executed	
				Executed	
				Executed	
				Pending	
				Executed	
				Preliminary Approval	

## Adding a New Contact

1. If you are new to your agency and needing to create log in credentials, a current contact will need to log in first to add you as another contact.

Please keep in mind, the same process is also used if your agency wants to add another contact so they can log in under their own credentials to use OSA-Connect.

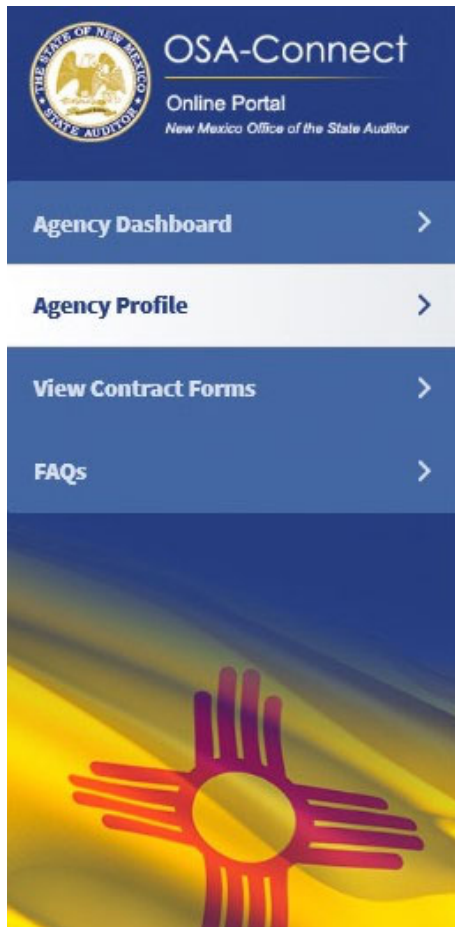
2. Click on the “Add Contact +” blue box.



The screenshot shows the OSA-Connect Online Portal interface. On the left is a navigation menu with three items: "Agency Dashboard", "Agency Profile", and "View Contract Forms". The "Agency Profile" item is highlighted. The main content area is titled "Agency Profile" and "Manage Agency Contacts". At the top right of this area is a blue button labeled "Add Contact +", which is pointed to by a green arrow. Below the button is a search bar and a "Show 10 entries" dropdown. A table lists contacts with columns for "First Name", "Last Name", "Type", "View / Edit", and "Remove". One contact is listed: Frank S. Valdez, with the type "Agency Contact / Agency Contract Contact".

First Name	Last Name	Type	View / Edit	Remove
Frank S	Valdez	Agency Contact / Agency Contract Contact	View / Edit	Remove

3. Please enter in all the contact information.
4. Please select all the contact types that apply to you or the new contact.
5. Click on “Add Contact” in the red box to save the new contact at the bottom of the page.



## Add New Contact

### Agency Contact Details

First Name

Last Name

Salutation

Title

Email Address

Confirm Email Address

Phone Number

Type *Optional*


- ☐ Agency Head
- ☐ Agency Contact
- ☐ Agency Contract Contact

Add Contact >


Please contact the office if you need further assistance in creating log in credentials, and we will be happy to assist you.

# User Profile Setup

First, review the Agency Dashboard to confirm that your user profile is associated with the correct agency. If the agency is not correct, please contact the NM Office of the State Auditor at (505)476-3800.

**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor


[Agency Dashboard](#) >  
[Agency Profile](#) >  
[View Contract Forms](#) >  
[FAQs](#) >



## Agency Dashboard


Select from the list of agencies below you are assigned to.

Show 10 entries

Agency Name	View Agency
Office of the State Auditor	<a href="#">View</a> 

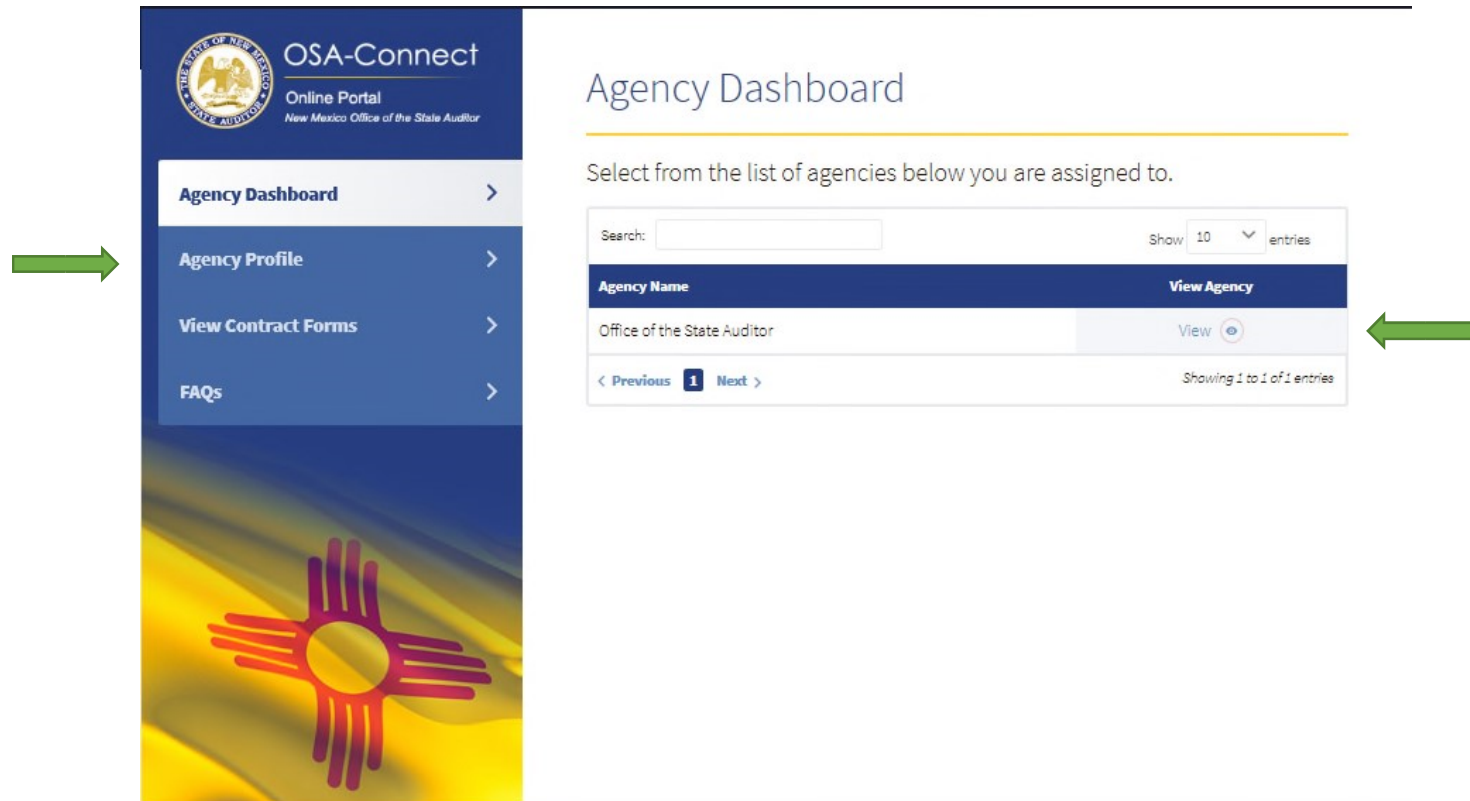
< Previous 1 Next >

Showing 1 to 1 of 1 entries



## Managing Agency Contacts

1. Click "View" next to your agency or click "Agency Profile" on the menu on the left side of the page, to go to the Agency Profile Page.



The screenshot displays the OSA-Connect Online Portal. The left sidebar contains a menu with the following items: Agency Dashboard, Agency Profile, View Contract Forms, and FAQs. A green arrow points to the 'Agency Profile' link. The main content area is titled 'Agency Dashboard' and includes a search bar, a 'Show 10 entries' dropdown, and a table of agencies. The table has two columns: 'Agency Name' and 'View Agency'. The first entry is 'Office of the State Auditor' with a 'View' button next to it. A green arrow points to this 'View' button. Below the table, there are navigation links '< Previous 1 Next >' and a status message 'Showing 1 to 1 of 1 entries'.

Agency Name	View Agency
Office of the State Auditor	<a href="#">View</a>

2. Click on "View/Edit" to view or modify contact information and click on "Remove" link to remove any contacts no longer employed at the entity.



**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

**Agency Profile**

Manage Agency Contacts [Add Contact +](#)

Search:  Show  entries

First Name	Last Name	Type	View / Edit	Remove
Frank S	Valdez	Agency Contact / Agency Contract Contact	<a href="#">View / Edit</a>	<a href="#">Remove</a>
Test	Test	Agency Contact	<a href="#">View / Edit</a>	<a href="#">Remove</a>

< Previous 1 Next > Showing 1 to 2 of 2 entries

Update Agency Profile Details

Agency Name:  Agency Number:

Agency Type:

[Local Public Bodies Tier Determination Form](#)

The agency contact information is used to communicate with the entities, so please ensure throughout the year that the contact information is correct.

3. Please select all the contact types that apply to you or the person being added.
4. For each additional OSA-Connect user at your entity, please select the contact type that corresponds to them.  
It is important to fill out the contact type for each OSA-Connect user name so we can direct correspondence to the appropriate person at your entity.
5. Click on “Save Information” in the red box at the bottom of the page.

**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

Agency Dashboard >  
Agency Profile >  
View Contract Forms >  
FAQs >

### View / Edit Contact

Agency Contact Details

**First Name**  
Frank S

**Last Name**  
Valdez

**Salutation**  
Mr.

**Title**  
Staff Contracts Manager

**Email Address**  
f.valdez@nmsos.com

**Confirm Email Address** Optional

**Phone Number**  
5054763800

**Type** Optional  
☐ Agency Head  
☒ Agency Contact  
☒ Agency Contract Contact

**Old Password** Optional

**New Password** Optional

**Confirm New Password** Optional

**Save Information** >

If the contact information was saved, you will see the message “Contact was successfully updated” in green writing at the top of the screen.

**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

Agency Dashboard >  
Agency Profile >  
View Contract Forms >  
FAQs >

### Agency Profile

Manage Agency Contacts **Add Contact** +

Search:  Show 10 entries

First Name	Last Name	Type	View / Edit	Remove
Frank S	Valdez	Agency Contact / Agency Contract Contact	View / Edit	Remove
Test	Test	Agency Contact	View / Edit	Remove

< Previous 1 Next > Showing 1 to 2 of 2 entries

---

Update Agency Profile Details

**Agency Name**  
Office Of The State Auditor

**Agency Number**  
308

**Agency Type**  
State Agencies

**Local Public Bodies Tier Determination Form**

# The Local Public Body Tier Determination Form Process

1. To start the process, click on “Local Public Bodies Tier Determination Form” black box. Here you will find a link to take you to the form.

The screenshot displays the OSA-Connect Online Portal interface. On the left is a dark blue sidebar with the following menu items: "Agency Dashboard", "Agency Profile", "View Contract Forms", and "FAQs". The main content area has a header with the OSA-Connect logo and a table of agency contacts. Below the table is a section titled "Update Agency Profile Details" containing input fields for "Agency Name" (Office Of The State Auditor), "Agency Number" (308), and "Agency Type" (Local Public Body (LPB) - Tier 1). At the bottom right of this section is a prominent black button labeled "Local Public Bodies Tier Determination Form" with a green arrow pointing to it from below.

First Name	Last Name	Type	View / Edit	Remove
Frank S	Valdez	Agency Contact / Agency Contract Contact	View / Edit	Remove
Test	Test	Agency Contact	View / Edit	Remove

< Previous 1 Next > Showing 1 to 2 of 2 entries

Update Agency Profile Details

Agency Name: Office Of The State Auditor

Agency Number: 308

Agency Type: Local Public Body (LPB) - Tier 1

**Local Public Bodies Tier Determination Form**

The Determination Form is for your internal records. An example follows. This form will assist you in determining the type of financial reporting a local public body will need to submit to the OSA. For example, the form will help you determine if you need to submit a Tier 1 or 2 Certification Form, or an Agreed Upon Procedure (AUP) Contract [for Tiers 3 through 6], or if

the OSA tiered system does not apply to your entity this year and a financial and compliance audit will be required.

# OFFICE OF THE STATE AUDITOR

## TIERED SYSTEM OF FINANCIAL REPORTING FOR LOCAL PUBLIC BODIES<sup>1</sup>

### FORM FOR DETERMINING TYPE OF REPORTING REQUIREMENTS AND INDEPENDENT PUBLIC ACCOUNTANT (IPA) SERVICES NEEDED

Pursuant to Sections 12-6-2(B) and Sections 12-6-3(B) NMSA 1978, local public bodies (mutual domestic water consumers associations, land grants, incorporated municipalities, and special districts) may be subject to different types of financial reporting requirements. This form should be used by all local public bodies to determine what type of professional services they are required to procure from an independent public accountant for fiscal years ending on or after June 30, 2010.

**STEP ONE: Determine whether an incorporated municipality associated with a housing authority should include or exclude the housing authority when completing this form. Check the ONE box below that applies to your municipality. If your local public body is not a municipality, then proceed to STEP TWO below.**

- ☐ If the municipality has a housing authority that is a component unit, then the component unit housing authority must procure a separate audit pursuant to 2.2.2 NMAC because it is not a local public body under the tiered system. The municipality should check this box and proceed to Step Two of this form. The tiered system may apply to the municipality, excluding its component unit housing authority.
- ☐ If the municipality has a housing authority that is a department, then the municipality should check this box and proceed to Step Two of this form. The tiered system may apply to the municipality, including its housing authority department.

**STEP TWO: Determine expenditure of federal funds and application of the tiered system. Check the ONE box below that applies to your local public body:**

- ☐ If your local public body (including a component unit housing authority, if applicable) expended \$750,000 or more in federal funds and is required by the grantor to obtain a single audit of the financial statements and federal funds in accordance with the Uniform Guidance for Federal Awards, then check this box and you are done with this form. The tiered system does not apply to your local public body. If you must obtain an audit of your financial statements.
- ☐ If your local public body expended \$750,000 or more in federal funds and elects to obtain a program-specific audit in accordance with the Uniform Guidance for Federal Awards, then check this box and proceed to Steps Three and Four of this form. The tiered system may apply to your local public body.
- ☐ If your local public body (including a component unit housing authority, if applicable) did not expend \$750,000 or more in federal funds, then check this box and proceed to Steps Three and Four of this form. The tiered system may apply to your local public body.

**STEP THREE: Determine your local public body's revenue and capital outlay award expenditures (if any) for the fiscal year:**

My local public body's total revenues (on a cash basis, excluding capital outlay funds, federal or private grants) were \$\_\_\_\_\_ for the fiscal year to which this recommendation applies, which is \_\_\_\_\_ (fiscal year end).

<sup>1</sup> Section 12-6-2(B) of the Audit Act (effective July 1, 2010) defines "local public body" as a mutual domestic water consumers association, a land grant, an incorporated municipality or a special district.

If applicable: My local public body's total capital outlay award was \$\_\_\_\_\_ and my local public body's total expenditure(s) of that award was \$\_\_\_\_\_ for the fiscal year to which this recommendation applies, which is \_\_\_\_\_ (fiscal year end). Note: Please do this calculation for each separate capital outlay award your local public body expended.

**STEP FOUR: Based on your local public body's revenue calculation in Step Three, check the ONE box below that applies to your local public body:**

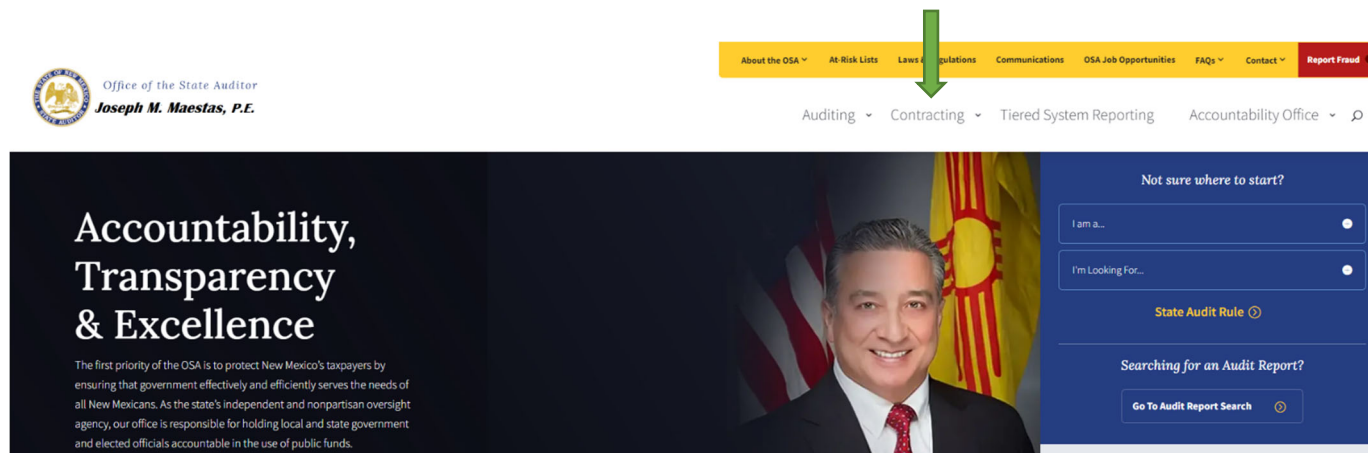
- ☐ **Tier 1 - Revenue is less than \$10,000 and your local public body did not directly expend at least 50% of, or the remainder of, a single capital outlay award:** Your local public body falls under Tier 1. A local public body under Tier 1 is exempt from submitting a financial report to the State Auditor and is not required to procure the services of an IPA. However, the local public body shall certify to the Office and the Local Government Division (LGD) of the Department of Finance and Administration (DFA) that it meets the revenue threshold of Tier 1.
- ☐ **Tier 2 - Revenue is \$10,000 or more but less than \$50,000:** Your local public body falls under Tier 2. A local public body under Tier 2 is exempt from submitting a financial report to the State Auditor and is not required to procure the services of an IPA. However, the local public body is required to comply with quarterly and final budget reporting requirements to LGD of DFA pursuant to Section 6-6-3 NMSA 1978. The local public body shall also certify to the Office and the LGD of DFA that it meets the revenue threshold of Tier 2.
- ☐ **Tier 3 - Revenue is less than \$50,000 and your local public body expended at least 50% of, or the remainder of a capital outlay award:** Your local public body falls under Tier 3. A local public body under Tier 3 is required to procure the services of an IPA for the performance of a Tier 3 agreed upon procedures engagement in accordance with the Tier 3 agreed upon procedures checklist on the State Auditor's website.
- ☐ **Tier 4 - Revenue \$50,000 or more but less than \$250,000:** Your local public body falls under Tier 4. A local public body under Tier 4 is required to procure the services of an IPA for the performance of a Tier 4 agreed upon procedures engagement in accordance with the Tier 4 agreed upon procedures checklist on the State Auditor's website.
- ☐ **Tier 5 - Revenue is \$50,000 or more but less than \$250,000 and your local public body expended any capital outlay funds:** Your local public body falls under Tier 5. A local public body under Tier 5 is required to procure the services of an IPA for the performance of a Tier 5 agreed upon procedures engagement in accordance with the Tier 5 agreed upon procedures checklist on the State Auditor's website.
- ☐ **Tier 6 - Revenue is \$250,000 or more but less than \$500,000:** Your local public body falls under Tier 6. A local public body under Tier 6 is required to procure the services of an IPA for the performance of a Tier 6 agreed upon procedures engagement in accordance with the Tier 6 agreed upon procedures checklist on the State Auditor's website.
- ☐ **Full Financial Audit - Revenue is \$500,000 or more:** The tiered system does not apply to your local public body and you must procure the services of an IPA for the performance of a financial and compliance audit in accordance with generally accepted auditing standards and rules issued by the State Auditor.

## How do you know if the OSA tiered system applies to your entity?

OSA tiered system may not apply if your local public body (including a component unit housing authority, if applicable) expended \$750,000 or more in federal funds. See the OSA Determination Form mentioned above for more information.

OSA tiered system does not apply if a local public body's annual revenue is five hundred thousand dollars (\$500,000) or more. The local public body would need to procure the services of an Independent Public Accountant (IPA) for the performance of a financial and compliance audit, and submit an audit contract in OSA-Connect. An audit contract is different from a Tier Certification being discussed in these instructions.

If this is the case, please see our separate OSA-Connect Instructions for the performance of a financial and compliance audit on our web site in the Contracting Page by clicking on the "Contracting" pull down tab.





# Creating a Tier Certification - LPB Tier 1 or Tier 2 -Managing the Agency Type

1. Click on Agency Profile on the Dashboard then click on the “Agency Type” drop down menu to open the drop-down menu and select the agency type that applies to your entity. These directions explain the Tier1/Tier 2 Certification process. Therefore, if your entity is a local public body that you determined to be a Tier 1 or Tier 2 this year, select either Tier 1 or Tier 2 to create a certification.

Which Tier 1 or Tier 2 your entity falls under was determined using the Determination Form mentioned above.

It is important that the agency type is correctly selected because this selection determines which type of contract or Tier Certification will be created.

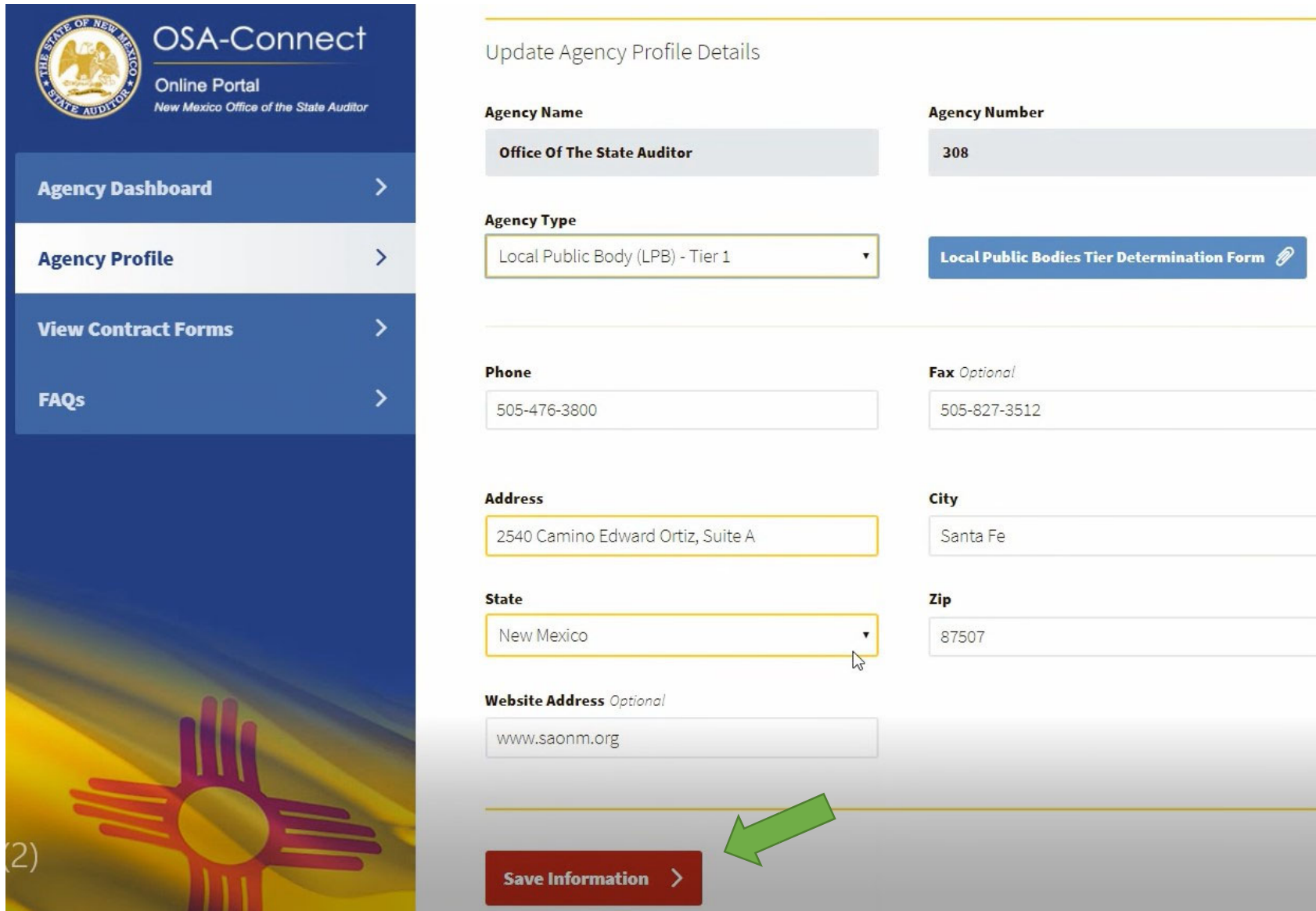
The screenshot shows the OSA-Connect Online Portal. The sidebar on the left contains links: Agency Dashboard, Agency Profile, View Contract Forms, and FAQs. The main content area is titled 'Agency Profile' and includes a 'Manage Agency Contacts' section with an 'Add Contact +' button. Below this is a dropdown menu for 'Select One' with a list of agency types. The first two options, 'Local Public Body (LPB) - Tier 1' and 'Local Public Body (LPB) - Tier 2', are highlighted. The rest of the list includes various other agency types like 'Local Public Body (LPB) - Tier 3' through 'Tier 6', 'Local Public Body (LPB) - Do Not Qualify for Tiered System', 'Comprehensive Annual Financial Report', 'Cooperative Educational Services (CES)', 'Councils of Governments (COG)', 'Counties', 'District Attorneys', 'District Courts', 'Higher Education', 'Hospitals & Special Hospital Districts', 'Independent Housing Authorities (IHA)', 'Local Workforce Investment Boards (LWIB)', 'Los Alamos County - Combined County/Municipality governments', and 'Public Employees Retirement Association (PERA) & Educational Retirement Board (ERB)'. Below the dropdown is a 'Local Public Bodies Tier Determination Form' link. The 'Agency Number' field shows '308'.

2. Click the “Save Information” red box to save.



3. Next verify that all information is correct, including the Agency Type, phone number, and address.

(2)



**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

**Agency Dashboard** >  
**Agency Profile** >  
**View Contract Forms** >  
**FAQs** >

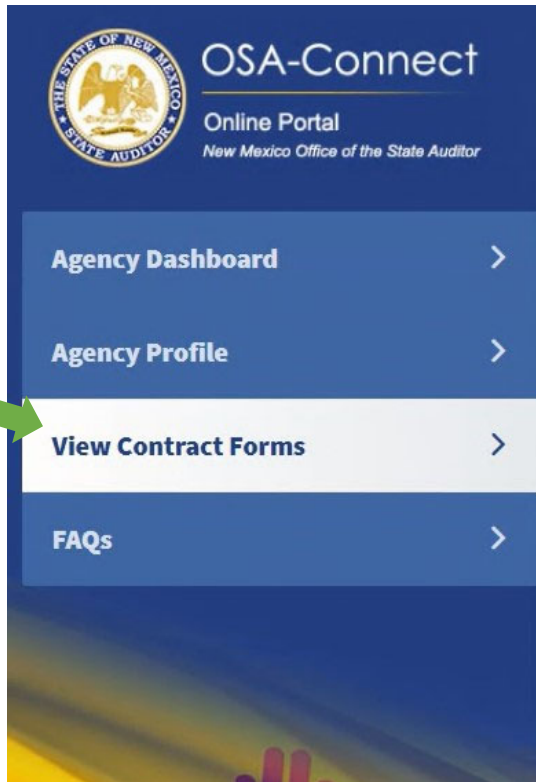
### Update Agency Profile Details

<b>Agency Name</b> Office Of The State Auditor	<b>Agency Number</b> 308
<b>Agency Type</b> Local Public Body (LPB) - Tier 1	<a href="#">Local Public Bodies Tier Determination Form</a>
<b>Phone</b> 505-476-3800	<b>Fax</b> <i>Optional</i> 505-827-3512
<b>Address</b> 2540 Camino Edward Ortiz, Suite A	<b>City</b> Santa Fe
<b>State</b> New Mexico	<b>Zip</b> 87507
<b>Website Address</b> <i>Optional</i> www.saonm.org	

**Save Information** >

## Submission of Tier Certification Form Process

1. Select “View Contract Forms” on the left-hand side and review any previously submitted Tier Certifications to see if a Tier Certification has already been created for the Fiscal Year.
2. If entering a NEW Certification, click on the “Generate Form” box.



### View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created.

**Generate Form** +

Search:

Show 

10

 entries


Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
12/31/2019 10:09:52 AM	2020	Frank S Valdez	Executed	Certification Approval Letter Amend
12/20/2019 1:46:27 PM	2020	Frank S Valdez	Executed	Contract Approval Letter Amend

< Previous 1 Next >

Showing 1 to 2 of 2 entries

3. Verify the correct agency type was generated to avoid any type of rejection.
4. If the agency type is not correct, go back to Agency Profile, and click on the “Agency Type” drop down menu to open the drop-down menu and select the correct agency type, and return to View Contract Forms to continue the process.





**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

- Agency Dashboard >
- Agency Profile >
- View Contract Forms >
- FAQs >

## Generate Certification

Please enter all contract information below. If not applicable, please put N/A in the field.

**Agency Type: Local Public Body (LPB) - Tier 1**

**Name Of Local Public Body**

**City**

**Address Of Local Public Body**

**State**

**Phone**

**Zip**

**Local Public Body Contact Name**

**LPB Head**

MM/DD/YYYY

5. Please complete all data fields and check all boxes The LPB (Local Public Body) and the For the Year Ended fields must be filled out.
6. Both Revenue boxes must be filled out. Note first box is for total revenue PLUS Capital Outlay awards and second box is for revenue.

Note, if you determined your entity is a Tier 1 or a Tier 2 for this year, you should be checking the appropriate bubble either "Did not expend 50% or the remainder of any capital outlay award appropriated by the New Mexico Legislature during the fiscal year listed above; or Has not

received a capital outlay award appropriated by the New Mexico Legislature during the fiscal year listed above.”


*If your entity expended 50% or the remainder of any Capital Outlay award appropriated by the New Mexico Legislature during the fiscal year listed above, please go back and select Tier 3, then continue on with submission process.*

6. Click on the “Save Information” red box.

The screenshot shows a web form for certification. At the top, a green arrow points to a blue vertical bar on the left. Below this, the text "My Local Public Body Also:" is followed by two radio button options. The first option, "Did not expend 50% or the remainder of any capital outlay award appropriated by the New Mexico Legislature during the fiscal year listed above; or", is selected. Below this, a paragraph states: "Therefore, In Accordance With The Requirements Of Section 12-6-3(B) NMSA 1978 And 2.2.2.16(C) NMAC, The Local Public Body Hereby Certifies That It Falls Under The Following Tier For Purposes Of Financial Reporting To The State Auditor And It Is Not Required To Procure Agreed Upon Procedures Services Pursuant To Section 12-6-3(B) NMSA 1978 And 2.2.2.16 NMAC:". Below this paragraph, two radio button options are shown: "Tier 1" (selected) and "Tier 2". A green arrow points to the "Tier 1" radio button. Below the tier selection, a checkbox is checked, and the text reads: "The Information Above Has Been Calculated In Accordance With Section 12-6-3(B) NMSA 1978 And 2.2.2.16 NMAC, And Is True And Correct To The Best Of My Knowledge And Belief. I Also Hereby Attest That I Have The Authority To Certify The Information Submitted In This Certification Form On Behalf Of The Local Public Body:". At the bottom, there are two buttons: a red "Save Information" button with a download icon, and a blue "Preview & Submit" button with a checkmark icon. A green arrow points to the "Save Information" button.

Once saved, you can return to the OSA-Connect later, however you will need to re-attest by checking the box before submitting to OSA.

(Note: If you have made an error, OSA Connect will prompt you to correct it. You will not be able to submit until the error has been corrected.)



**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

- Agency Dashboard
- Agency Profile
- View Contract Forms
- FAQs

**Phone**  
505-476-3800

**Fax (Optional)**  
505-827-3312

**Local Public Body Contact Name**  
Test Test

**Email Address**  
Interntwo@osa.state.nm.us

**LPB Head (Optional)**  
John Doe

**Certification For The Fiscal Year Ended**  
06/30/2020

**Based On Its Total Annual Revenue And/Or Capital Outlay Expenditures, My Local Public Body Had The Following Total Annual Revenues:**  
10,000

**Total Annual Revenue Of My Local Public Body, Calculated On A Cash Basis, Excluding Capital Outlay Funds, Federal And Private Grants Is:**  
8,000

**My Local Public Body Also:**

☒ Did not expend 50% or the remainder of any capital outlay award appropriated by the New Mexico Legislature during the fiscal year listed above; or

☐ Has not received a capital outlay award appropriated by the New Mexico Legislature during the fiscal year listed above.

**Therefore, In Accordance With The Requirements Of Section 12-6-3(B) NMSA 1978 And 2.2.2.16(C) NMAC, The Local Public Body Hereby Certifies That It Falls Under The Following Tier For Purposes Of Financial Reporting To The State Auditor And It Is Not Required To Procure Agreed Upon Procedures Services Pursuant To Section 12-6-3(B) NMSA 1978 And 2.2.2.16 NMAC:**

☒ Tier 1   ☐ Tier 2

☐ The information above has been calculated in accordance with Section 12-6-3(B) NMSA 1978 and 2.2.2.16 NMAC, and is true and correct to the best of my knowledge and belief. I also hereby attest that I have the authority to certify the information submitted in this certification form on behalf of the local public body.

**Save Information**   **Preview & Submit**

If your Tier Certification was saved successfully, green text at the top of the page will read “! Information Saved Successfully”. Then you can continue working.



! Information saved successfully



## Generate Certification

Please enter all contract information below. If not applicable, please put N/A in the field.

Agency Type: **Local Public Body (LPB) - Tier 1**

Name Of Local Public Body

Example2 Tier 1

You will need to check the attest box one more time in order to continue the process with the "Preview & Submit" box. Otherwise you will get an error message prompting you to check the attest box.



Therefore, In Accordance With The Requirements Of Section 12-6-3(B) NMSA 1978 And 2.2.2.16(C) NMAC, The Local Public Body Hereby Certifies That It Falls Under The Following Tier For Purposes Of Financial Reporting To The State Auditor And It Is Not Required To Procure Agreed Upon Procedures Services Pursuant To Section 12-6-3(B) NMSA 1978 And 2.2.2.16 NMAC:

☒ Tier 1 ☐ Tier 2

☒ The Information Above Has Been Calculated In Accordance With Section 12-6-3(B) NMSA 1978 And 2.2.2.16 NMAC, And Is True And Correct To The Best Of My Knowledge And Belief. I Also Hereby Attest That I Have The Authority To Certify The Information Submitted In This Certification Form On Behalf Of The Local Public Body.

Save Information

Preview & Submit

7. Click on the "Preview & Submit" box.

Clicking on the "Preview & Submit" box will take you to this screen to review all the information in the Tier 1 or Tier 2 Certification.



State of New Mexico-Office of the State Auditor  
Certification Form for Tier 1 and Tier 2

Name of Local Public Body: Example2 Tier 1

Address of Local Public Body: 2540 Camino Edward Ortiz, Suite A

City: Santa Fe

State: NM

Zip Code: 87507

Phone #: 505-476-3800

Fax #: 505-827-3512

Local Public Body Contact Name: Test Test

E-Mail Address: Interntwo@osa.state.nm.us

LPB Head: JohnDoe3

Based on its total annual revenue and/or capital outlay expenditures, my local public body had the following total annual revenue for the fiscal year ended June 30,2020:

\$9000.00

Total annual revenue of my local public body, calculated on a cash basis, excluding capital outlay funds, federal and private grants is: \$9000.00

My local public body also:

8. You can click on “Save & Print” box to save for your records and use (Note, this is NOT the form to be submitted to the OSA).
9. Submit the draft certification by clicking the “Save & Notify OSA” box. This is the only way that the Tier Certification will be submitted to and accepted by the OSA. If it was submitted to OSA successfully, green text at the top of the page will read “! Information saved and email sent successfully.” Then you can continue working.



! Information saved and email sent successfully

State of New Mexico-Office of the State Auditor  
Certification Form for Tier 1 and Tier 2

Name of Local Public Body: Example2 Tier 1

Address of Local Public Body: 2540 Camino Edward Ortiz, Suite A

City: Santa Fe

State: NM

Zip Code: 87507

Phone #: 505-476-3800

Fax #: 505-827-3512

Local Public Body Contact Name: Test Test

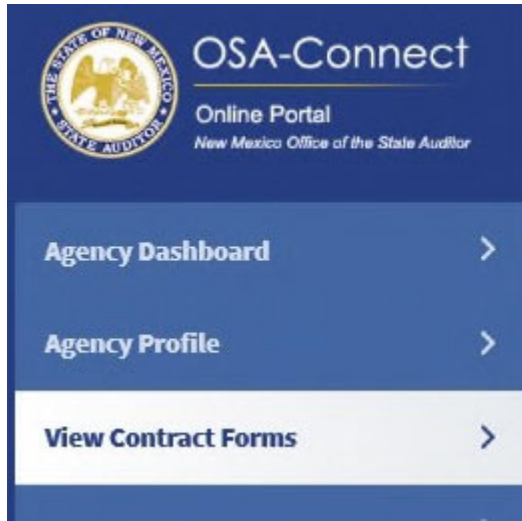
E-Mail Address: Interntwo@osa.state.nm.us

LPB Head: JohnDoe3

Based on its total annual revenue and/or capital outlay expenditures, my local public body had the following total annual revenue for the fiscal year ended June 30,2020:

\$9000.00

Notice that the status will now be changed to “Submitted” signifying certification was submitted. You will also receive an email that it was submitted.



## View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created.

Generate Form +

Search:

Show 10 entries

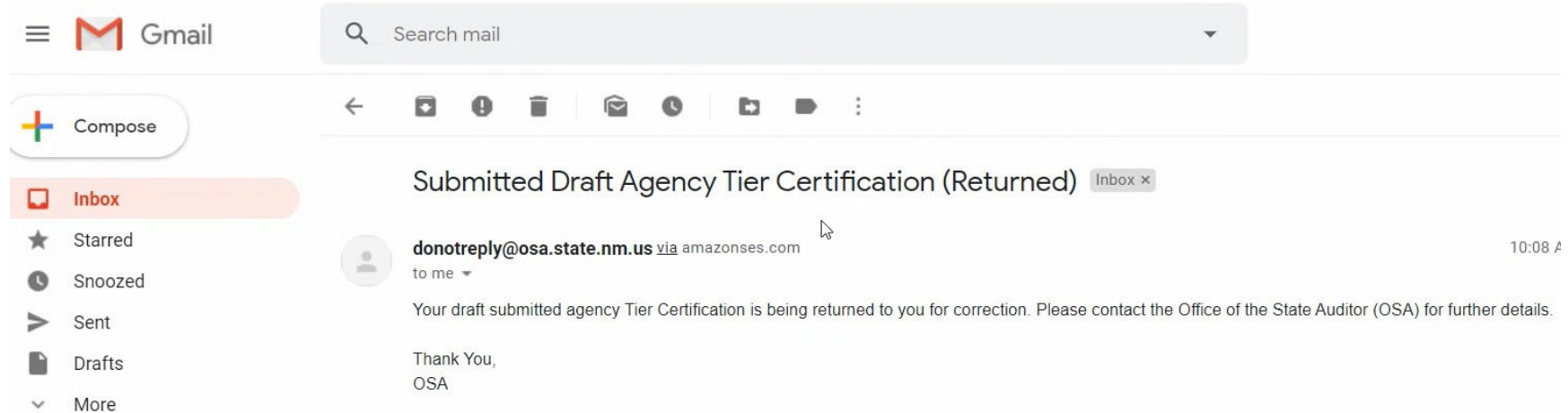
Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/14/2020 10:39:03 AM	2020	Test Test	Submitted	<a href="#">View</a>






## Returned Certification for Errors or Omissions

If your certification has errors or omissions, you will also receive an email that your certification is being returned to you for correction and re-submission as seen in this example.



Notice that the status will be changed to “In Progress” signifying the certification was not approved, and further action is needed.



**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

- Agency Dashboard >
- Agency Profile >
- View Contract Forms >**

### View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created. [Generate Form +](#)

Search:  Show 10 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/14/2020 11:05:51 AM	2020	Test Test	In Progress	<a href="#">Edit</a>

# Certification Resubmission Process

1. Click on “Edit” to start the correction process.



## View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created.

Generate Form +

Search:

Show  entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/14/2020 11:05:51 AM	2020	Test Test	In Progress	<a href="#">Edit</a>

2. You will see a red error message at the top explaining the nature of the error and what further action is needed.





**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

- Agency Dashboard >
- Agency Profile >
- View Contract Forms >
- FAQs >

## Generate Certification

**This certification has been denied.**

**Reason: Revenue line 1: Revenue should include the capital outlay expenditure if any, and should be more than revenue line 2. Revenue line 2: Revenue reported is above the Tier Level qualifications, and entity may need a full financial audit.**



Please enter all contract information below. If not applicable, please put N/A in the field.

Agency Type: **Local Public Body (LPB) - Tier 1**

Name Of Local Public Body

Example 3 Tier 1 - Returned for errors or omissions

3. Make any necessary corrections.
4. Resubmit the certification following the standard submission process mentioned above.

Notice that the status changed to “Submitted” signifying certification was submitted. You will also receive an email that it was submitted.



**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

- Agency Dashboard >
- Agency Profile >
- View Contract Forms >

## View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created.

[Generate Form +](#)

Search:

Show  entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/14/2020 11:56:50 AM	2020	Test Test	Submitted	<a href="#">View</a>

## Two Step Tier Certification Approval Process.

First step, an entity receives a preliminary approval.

- An email will be sent out indicating an OSA preliminary approval.
- When logging back into OSA-Connect, you can check if the certification has received a preliminary approval by looking at the status.
- A “Preliminary Approval” signifies that the certification received an OSA preliminary approval. The next steps MUST be followed to complete the Tier Certification process.

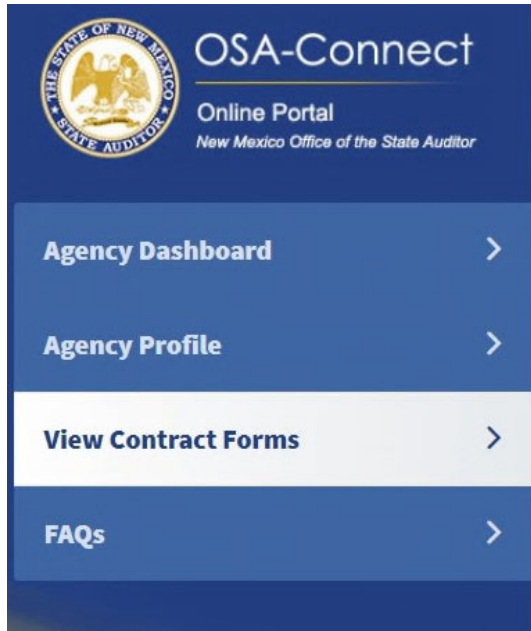
The screenshot shows the OSA-Connect Agency Dashboard. On the left is a sidebar with links: Agency Dashboard, Agency Profile, View Contract Forms, and FAQs. The main content area has a heading: "Before you generate a new contract, please check the table below to see if one has already been created." with a "Generate Form" button. Below this is a table with columns: Last Updated, Fiscal Year, Last Updated By, Status, and Action. The table contains two rows. The second row has a status of "Preliminary Approval", which is highlighted with an orange box. A green arrow points to the "View" link in the Action column for this row.

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/3/2020 10:10:36 AM	2019	Frank S Valdez	Submitted	View
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Preliminary Approval	View Upload

1. Click the “View” link to open the certification. At this point, print, signed and date the printed certification by a person that has the authority to certify the information.
2. Scan and save in your computer.

Second step:

1. The signed tier certification is then uploaded into OSA-Connect directly.  
**Tier certifications are no longer submitted to OSA via e-mail or mail.**
2. Click “Upload” to start the process.



## View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created.

**Generate Form** +

Search:

Show 

10

 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/3/2020 10:10:36 AM	2019	Frank S Valdez	Submitted	<a href="#">View</a>
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Preliminary Approval	<a href="#">View</a> <a href="#">Upload</a>

3. Locate your document as it is saved on your computer and click on the red "Upload" box to upload it into OSA-Connect.

## Upload Certification

Browse to the location of your signed and executed Certification that you want associated with this item.

**Choose File** No file chosen

**Upload** >

**Cancel**

Notice that the status is now changed to "Pending Upload Review" signifying the signed certification was successfully uploaded.

You will also receive an email that the signed certification was successfully uploaded.

Agency Dashboard	>
Agency Profile	>
View Contract Forms	>
FAQs	>

Before you generate a new contract, please check the table below to see if one has already been created.

Generate Form +

Search:

Show 

10

 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/3/2020 10:10:36 AM	2019	Frank S Valdez	Submitted	<a href="#">View</a>
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Pending Upload Review	<a href="#">View</a>

# Tier Certification Approval Process

Notice that the status changed to “Executed” signifying OSA concurred with the signed certification.

You will also receive an email that OSA concurred with the signed certification submission.



## View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created.

Generate Form +

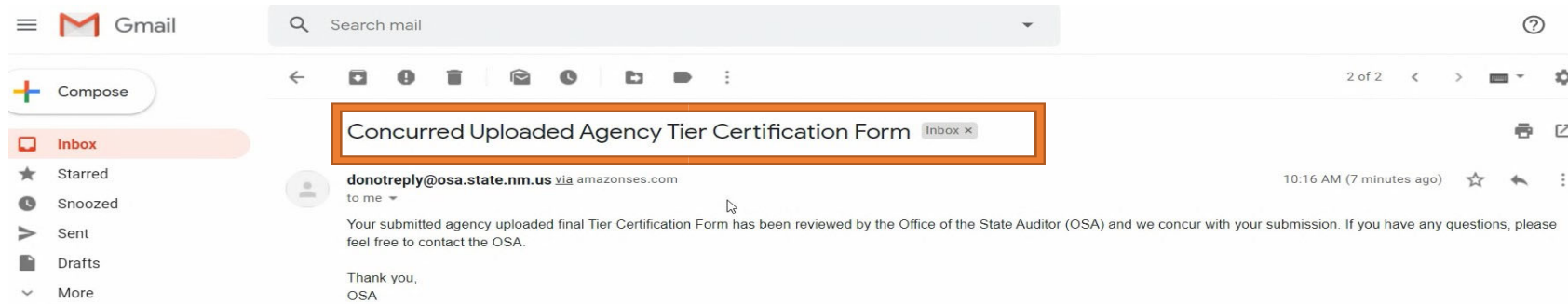
Search:

Show 

10


 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/3/2020 10:10:36 AM	2019	Frank S Valdez	In Progress	<a href="#">Edit</a>
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Executed	Certification

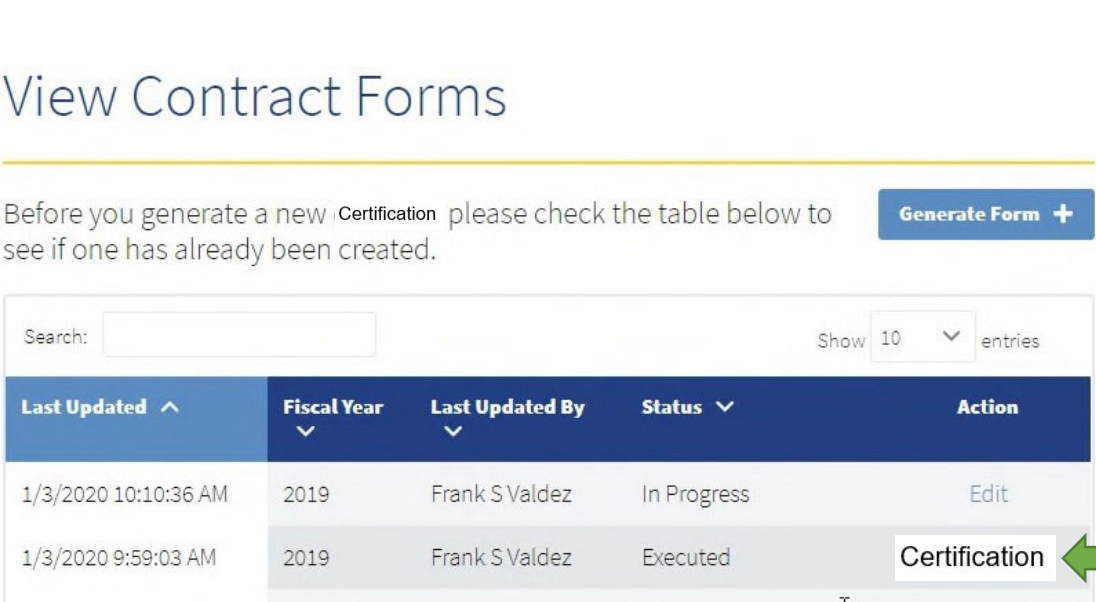


## Access to Signed Tier Certifications

Signed tier certifications are accessible by clicking on “View Contract Forms” on the dashboard on the left-hand side of the page.



The screenshot shows the OSA-Connect Online Portal. The left-hand sidebar contains a menu with the following items: Agency Dashboard, Agency Profile, View Contract Forms (highlighted with a green arrow), and FAQs.



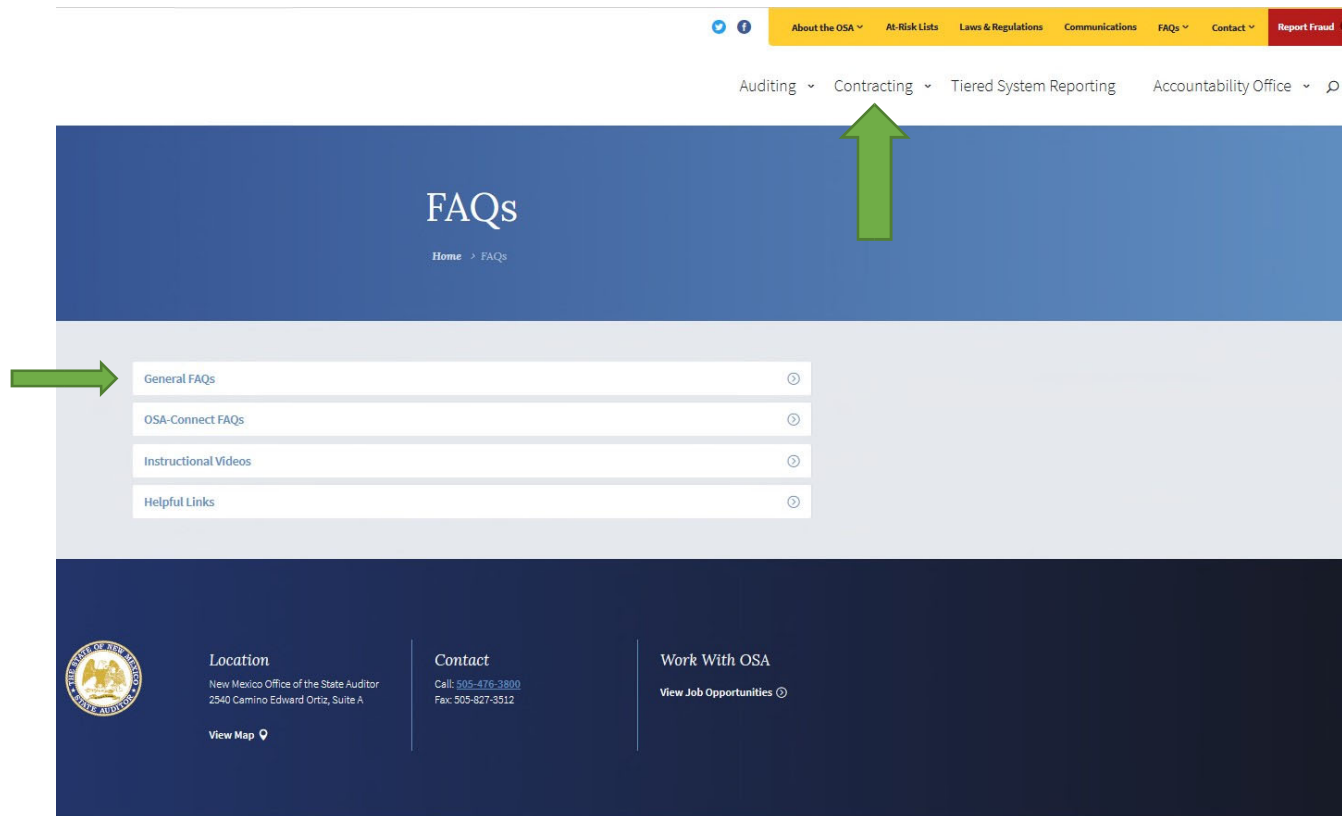
The 'View Contract Forms' page displays a table of certifications. Above the table is a search bar and a 'Generate Form +' button. The table has the following columns: Last Updated, Fiscal Year, Last Updated By, Status, and Action. The second row of the table has a 'Certification' link in the Action column, which is highlighted with a green arrow.

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/3/2020 10:10:36 AM	2019	Frank S Valdez	In Progress	Edit
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Executed	Certification



## FAQs on Our OSA Website Page

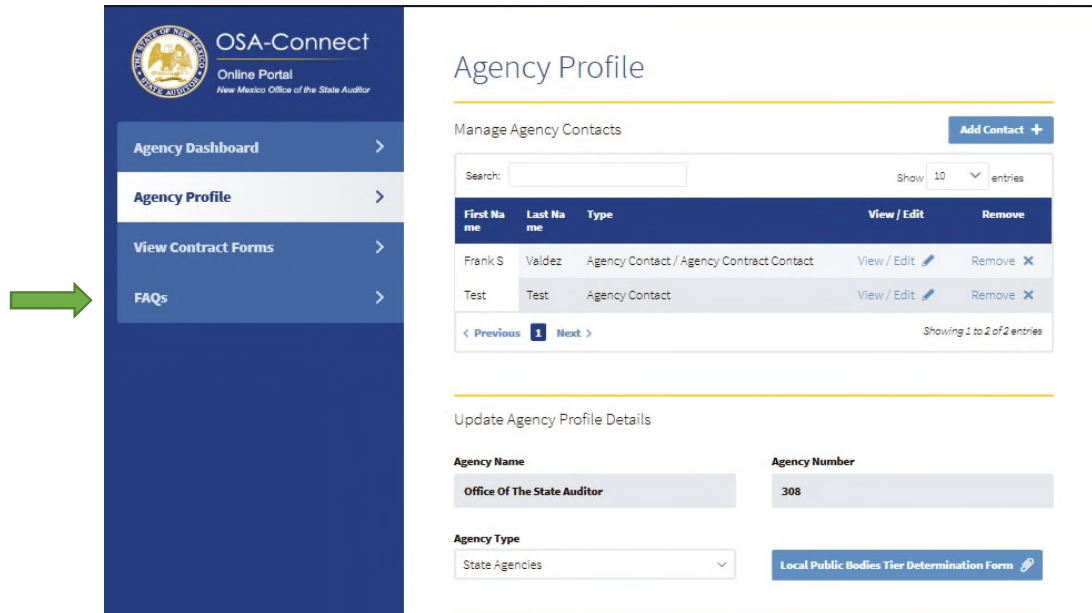
If you have any questions on the OSA-Connect contract process, answers are often found in FAQs on our OSA website page in the contracting area as seen below.



FAQs and instructional videos and written instructions will be updated periodically on this OSA web page.

Please contact us if you would like to provide feedback on our FAQs.

1. FAQs on our OSA website page can be accessed from OSA-Connect by clicking the “FAQs” link on the left side of the page.



The screenshot displays the OSA-Connect Online Portal interface. On the left, a dark blue sidebar contains the following menu items: 'Agency Dashboard', 'Agency Profile' (highlighted), 'View Contract Forms', and 'FAQs'. A green arrow points to the 'FAQs' link. The main content area is titled 'Agency Profile' and includes a 'Manage Agency Contacts' section with a search bar, a table of contacts, and an 'Add Contact' button. Below this is the 'Update Agency Profile Details' section with input fields for 'Agency Name', 'Agency Number', and 'Agency Type', along with a 'Local Public Bodies Tier Determination Form' link.

**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

**Agency Profile**

Manage Agency Contacts [Add Contact](#)

Search:  Show 10 entries

First Name	Last Name	Type	View / Edit	Remove
Frank S	Valdez	Agency Contact / Agency Contract Contact	<a href="#">View / Edit</a>	<a href="#">Remove</a>
Test	Test	Agency Contact	<a href="#">View / Edit</a>	<a href="#">Remove</a>

< Previous 1 Next > Showing 1 to 2 of 2 entries

Update Agency Profile Details

**Agency Name**  
Office Of The State Auditor

**Agency Number**  
308

**Agency Type**  
State Agencies

[Local Public Bodies Tier Determination Form](#)



## Points to Keep in Mind:

- The tier certifications are uploaded into OSA-Connect directly.
- **Tier certifications are no longer submitted to OSA via email or mail.**
  - If you are needing to do a contract or a contract amendment, please see our separate OSA Contract Amendment Instructions
- Please see the OSA Audit Rule, contract amendment section for the circumstances when contract amendments are done and the contract amendment requirements.

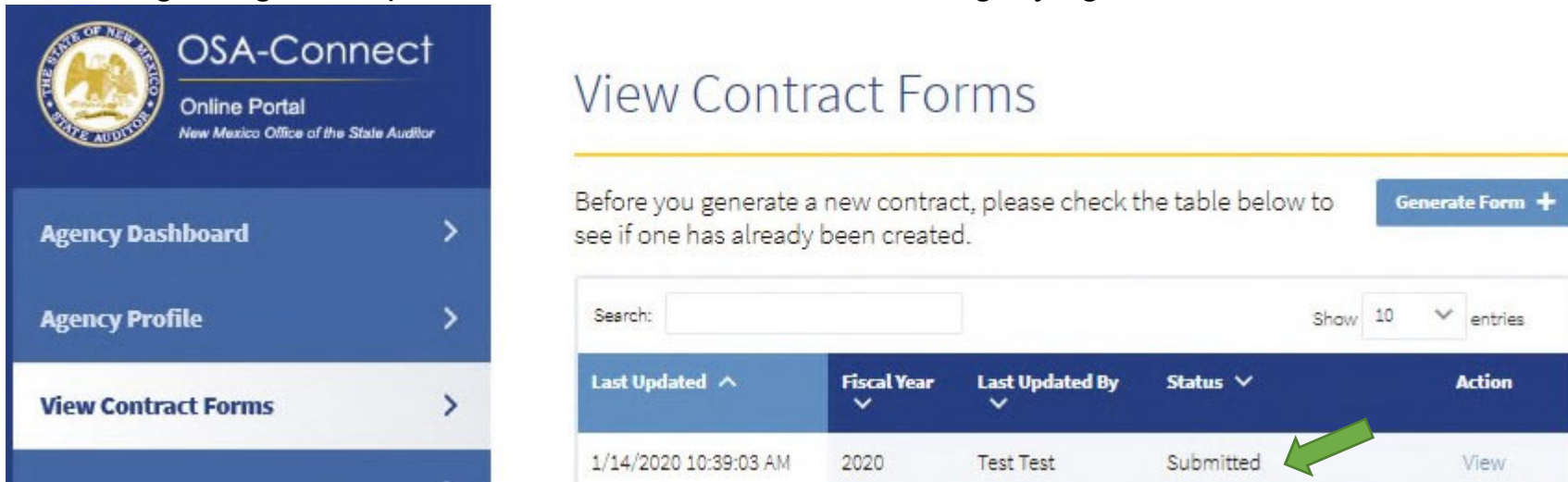
### *OSA-Connect is also used for:*

- **Tier certifications and contracts for past fiscal years for entities who are catching up on late audits, AUPs, or tier certifications**

## Appendix A Changing a Tier Certification from Tier 1 to Tier 2 or from Tier 2 to Tier 1

The Situation: Changing a Tier Certification (From Tier 1 to Tier 2 or From Tier 2 to Tier 1) after submission to OSA, but OSA has not given a preliminary approval.

At the beginning of the process, the status is “Submitted” signifying certification was submitted.



OSA-Connect  
Online Portal  
New Mexico Office of the State Auditor

Agency Dashboard >

Agency Profile >

View Contract Forms >

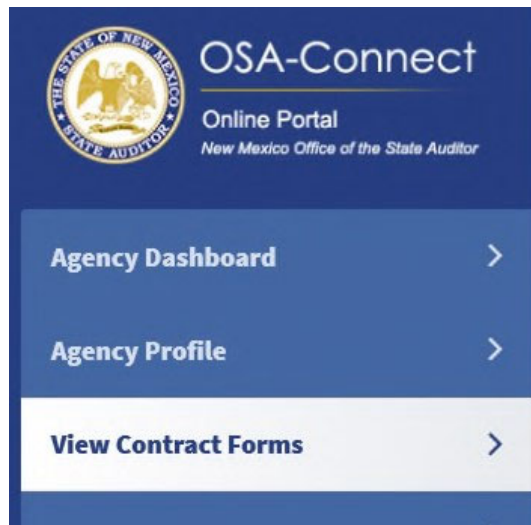
### View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created. [Generate Form +](#)

Search:  Show 10 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/14/2020 10:39:03 AM	2020	Test Test	Submitted	<a href="#">View</a>

1. First, contact OSA to notify that your entity is changing the Tier Certification (from Tier 1 to Tier 2 or from Tier 2 to Tier 1).
2. OSA will deny and return your first submission, so you can open and change your tier certification. Notice the status will be changed to “In Progress” as seen below.



## View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created.

[Generate Form +](#)

Search:

Show 

10

 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/24/2020 3:33:21 PM	2020	Test Test	In Progress	Edit

3. Go back to "Agency Profile" on the left hand side.
4. Click on the "Agency Type" to open the drop down menu and select the agency type that applies to your entity. In this example, change the selection to "Tier 2."

5. Click the “Save Information” red box to save. Once the Tier level has been successfully updated, green text at the top of the page will read “! The profile has been successfully updated.” Then you can continue working.

The screenshot displays the OSA-Connect Online Portal for the New Mexico Office of the State Auditor. The left sidebar contains a menu with the following items: Agency Dashboard, Agency Profile (highlighted with a green arrow), View Contract Forms, and FAQs. The main content area is titled 'Update Agency Profile Details' and shows a form with the following fields:

- Agency Name:** Office Of The State Auditor
- Agency Number:** 308
- Agency Type:** Local Public Body (LPB) - Tier 2 (highlighted with an orange box)
- Local Public Bodies Tier Determination Form:** (Link with download icon)
- Phone:** 505-476-3800
- Fax (Optional):** 505-827-3512
- Address:** 2540 Camino Edward Ortiz, Suite A
- City:** Santa Fe
- State:** New Mexico
- Zip:** 87507
- Website Address (Optional):** www.saonm.org

At the bottom of the form is a red button labeled 'Save Information' with a right-pointing arrow, which is highlighted by a green arrow.



 **The profile has been successfully updated.**

## Agency Profile

Manage Agency Contacts

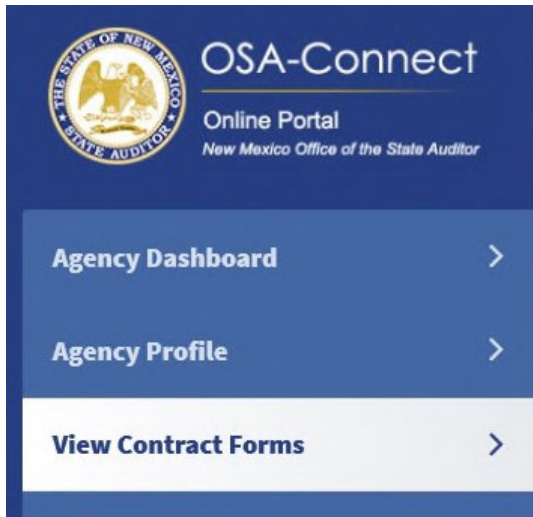
[Add Contact +](#)

Search:

Show 10 entries

First Name	Last Name	Type	View / Edit	Remove
------------	-----------	------	-------------	--------

6. Click on the “Edit” link to open and start entering in the new tier information.



## View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created.

[Generate Form +](#)

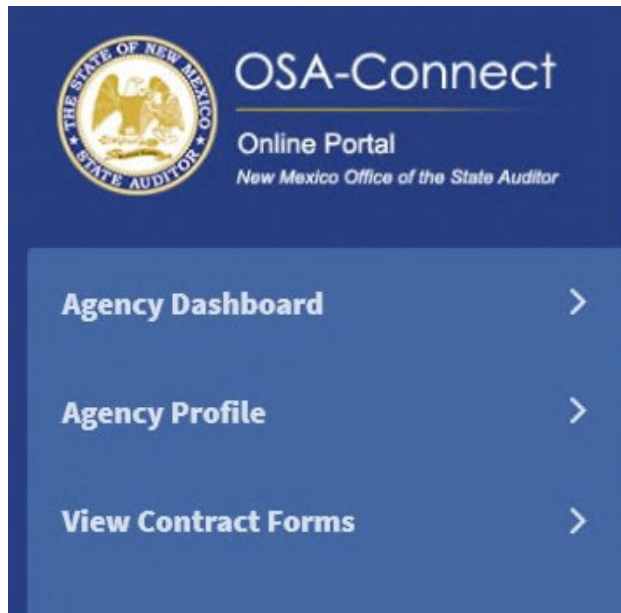
Search:

Show 10 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/27/2020 10:17:18 AM	2020	Test Test	In Progress	<a href="#">Edit</a>



You will see a red message at the top explaining the certification submission has been cancelled due to changing the Tier Certification (from Tier 1 to Tier 2 or from Tier 2 to Tier 1).



## Generate Certification

**This certification has been denied.**

**Reason: Received email from client stating their a Tier 2**

Please enter all contract information below. If not applicable, please put N/A in the field.

Agency Type: **Local Public Body (LPB) - Tier 1**

**Name Of Local Public Body**

Test Example- Tier 1 submission, but changing to Tier 2 prior to OSA approval

7. Verify the agency type generated was the agency type you are changing to. In this example agency type generated should be “Local Public Body Tier 2” to avoid any type of rejection.
8. Enter the new information for the new Tier level.

Please enter all contract information below. If not applicable, please put N/A in the field.

Agency Type: **Local Public Body (LPB) - Tier 2**

**Name Of Local Public Body**

Test Example- Tier 1 submission, but changing to Tier 2 prior to OSA approval

**Address Of Local Public Body**

2540 Camino Edward Ortiz, Suite A

**City**

Santa Fe

**State**

NM

**Zip**

87507

**Phone**

505-476-3800

**Fax** *Optional*

505-827-3512

**Local Public Body Contact Name**

John Doe 4th

**Email Address**

Interntwo@osa.state.nm.us

**LPB Head** *Optional*

Jack Ryan

**Certification For The Fiscal Year Ended**

06/30/2020

**Based On Its Total Annual Revenue And/Or Capital Outlay Expenditures, My Local Public Body Had The Following Total Annual Revenue:**

\$49000.00

**Total Annual Revenue Of My Local Public Body, Calculated On A Cash Basis, Excluding Capital Outlay Funds, Federal And Private Grants Is:**

\$49000.00

**My Local Public Body Also:**

- ☒ Did not expend 50% or the remainder of any capital outlay award appropriated by the New Mexico Legislature during the fiscal year listed above; or
- ☐ Has not received a capital outlay award appropriated by the New Mexico Legislature during the fiscal year listed above.

Therefore, In Accordance With The Requirements Of Section 12-6-3(B) NMSA 1978 And 2.2.2.16(C) NMAC, The Local Public Body Hereby Certifies That It Falls Under The Following Tier For Purposes Of Financial Reporting To The State Auditor And It Is Not Required To Procure Agreed Upon Procedures Services Pursuant To Section 12-6-3(B) NMSA 1978 And 2.2.2.16 NMAC:

- ☐ Tier 1 ☒ Tier 2



9. Select the new tier. In this example, enter Tier 2 that you are certifying.



Therefore, In Accordance With The Requirements Of Section 12-6-3(B) NMSA 1978 And 2.2.2.16(C) NMAC, The Local Public Body Hereby Certifies That It Falls Under The Following Tier For Purposes Of Financial Reporting To The State Auditor And It Is Not Required To Procure Agreed Upon Procedures Services Pursuant To Section 12-6-3(B) NMSA 1978 And 2.2.2.16 NMAC:

☐ Tier 1 ☒ Tier 2

☒ The Information Above Has Been Calculated In Accordance With Section 12-6-3(B) NMSA 1978 And 2.2.2.16 NMAC, And Is True And Correct To The Best Of My Knowledge And Belief. I Also Hereby Attest That I Have The Authority To Certify The Information Submitted In This Certification Form On Behalf Of The Local Public Body.

Save Information ↓

Preview & Submit ✓



10. Click on the “Save Information” red box.

11. If it was saved successfully, a green text at the top of the page will read “! Information Saved Successfully”. Then you can continue working.

12. Click on the “Preview & Submit” box.

13. Clicking on the “Preview & Submit” box will take you to this screen to review all the information in the Tier 2 Certification before submitting to OSA.



Mode

Save & Print ↓ Save & Notify OSA

**State of New Mexico-Office of the State Auditor  
Certification Form for Tier 1 and Tier 2**

Name of Local Public Body: Test Example- Tier 1 submission, but changing to Tier 2 prior to OSA approval

Address of Local Public Body: 2540 Camino Edward Ortiz, Suite A

City: Santa Fe State: NM Zip Code: 87507

Phone #: 505-476-3800 Fax #: 505-827-3512

Local Public Body Contact Name: John Doe 4th

E-Mail Address: Interntwo@osa.state.nm.us

LPB Head: Jack Ryan

Based on its total annual revenue and/or capital outlay expenditures, my local public body had the following total annual revenue for the fiscal year ended June 30, 2020:  
\$49000.00

Total annual revenue of my local public body, calculated on a cash basis, excluding capital outlay funds, federal and private grants is: \$49000.00


My local public body also:

☒ Did not expend 50% or the remainder of any capital outlay award appropriated by the New Mexico Legislature during the fiscal year 2020; or

☐ Has not received a capital outlay award appropriated by the New Mexico Legislature.


Therefore, in accordance with the requirements of Section 12-6-3(B) NMSA 1978 and 2.2.2.16(C) NMAC, the local public body hereby certifies that it falls under the following tier for purposes of financial reporting to the State Auditor and it is not required to procure agreed upon procedures services pursuant to Section 12-6-3(B) NMSA 1978 and 2.2.2.16 NMAC:

☐ Tier 1 ☒ Tier 2



14. Click on “Save & Print” box to save for your records and use.
15. Submit the draft certification by clicking the “Save & Notify OSA” box.
16. If it was submitted to OSA successfully, a green text at the top of the page will read “!
17. Information saved and email sent successfully.”

Notice that the status changed to “Submitted” signifying certification was submitted.  
You will also receive an email that it was submitted.



# OSA-Connect

Online Portal  
New Mexico Office of the State Auditor

Agency Dashboard >

Agency Profile >

View Contract Forms >

## View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created.

Generate Form +

Search:		Show	10	entries
Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/14/2020 11:56:50 AM	2020	Test Test	Submitted	View

Please see the Tier Certification instructions, and continue with the standard OSA-Connect Tier Certification approval process after receiving preliminary approval.

## Appendix B

Changing a Tier Certification from Tier 1 to Tier 2 or From Tier 2 to Tier 1 after given a preliminary approval.

At the beginning of the process the status is “Preliminary Approval” signifying that the certification received an OSA preliminary approval.

Before you generate a new contract, please check the table below to see if one has already been created. [Generate Form](#)

Search:  Show 10 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/3/2020 10:10:36 AM	2019	Frank S Valdez	Submitted	<a href="#">View</a>
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Preliminary Approval	<a href="#">View</a> <a href="#">Upload</a>

1. Contact OSA to notify that your entity is changing the Tier Certification (from Tier 1 to Tier 2 or from Tier 2 to Tier 1).
2. A new certification must be created for the tier your entity is changing to.

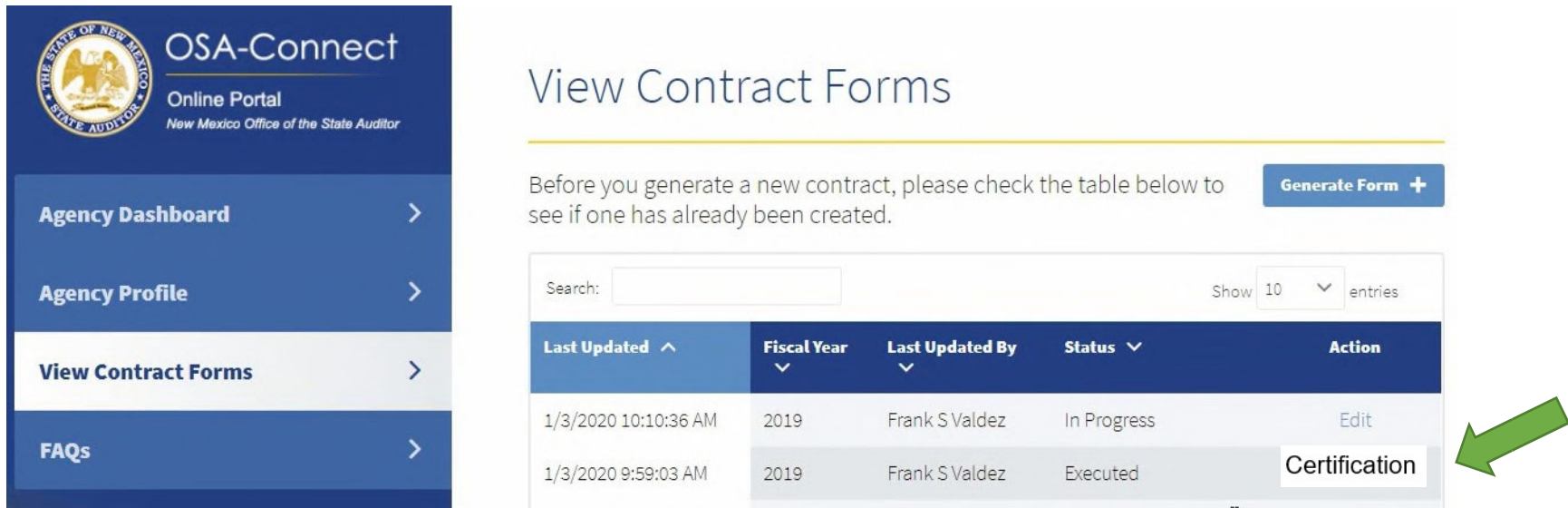
**Once your entity receives a “Preliminary Approval,” the original certification cannot be edited or changed to submit a different type of tier certification.**

Please see the Tier Certification instructions, and continue with the standard OSA-Connect Tier Certification submission and approval process.

## Appendix C

Changing a Tier Certification from Tier 1 to Tier 2 or From Tier 2 to Tier 1 after receiving notification that OSA concurred with the signed certification.

At the beginning of the process the status is “Executed” signifying OSA concurred with the signed certification.



**OSA-Connect**  
Online Portal  
New Mexico Office of the State Auditor

**Agency Dashboard** >  
**Agency Profile** >  
**View Contract Forms** >  
**FAQs** >

### View Contract Forms

Before you generate a new contract, please check the table below to see if one has already been created. [Generate Form +](#)

Search:  Show 10 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/3/2020 10:10:36 AM	2019	Frank S Valdez	In Progress	Edit
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Executed	Certification

1. Contact OSA to notify that your entity is changing the Tier Certification (from Tier 1 to Tier 2 or from Tier 2 to Tier 1).
2. A new certification must be created for the tier your entity is changing to.

**Once your entity receives a “Preliminary Approval,” the original certification cannot be edited or changed to submit a different type of tier certification.**

Please see the Tier Certification instructions, and continue with the standard OSA-Connect Tier Certification submission and approval process.

## Appendix D

Changing from Tier 1 to Tier 2 to an AUP contract (Tiers 3 through 6).

1. Contact OSA to notify that your entity is changing (from Tier 1 to Tier 2 to an AUP contract (Tiers 3 through 6). OSA will delete the certification in OSA-Connect.
2. A new Agreed Upon Procedure contract must be created for the tier (Tier 3 through 6) your entity is changing to.

Please see our separate OSA-Connect Instructions for the submission and approval process for an Agreed Upon Procedure contract.

## Appendix E

Changing from an AUP contract (Tiers 3 through 6) to a Tier 1 or Tier 2.

1. Contact OSA to notify that your entity is changing (from an AUP contract (Tiers 3 through 6) to a Tier 1 or Tier 2. OSA will delete the Agreed Upon Procedure contract in OSA-Connect.
2. A certification must be created for the tier your entity is changing to.

*Please see the Tier Certification instructions, and continue with the standard OSA-Connect Tier Certification submission and approval process.*