

# **The New 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**

# Table of Contents

<b>OSA-Connect Website Address .....</b>	<b>3</b>
<b>Forgotten Password Instructions .....</b>	<b>3</b>
<b>Quick Reference: What the Status Codes Mean .....</b>	<b>4</b>
<b>Adding A New Contact.....</b>	<b>5</b>
<b>User Profile Setup .....</b>	<b>7</b>
<b>Completion of the Local Public Body Tier Determination Form .....</b>	<b>12</b>
<b>The Creation of the Tier Certification.....</b>	<b>15</b>
<b>FAQS on Our OSA Website Page.....</b>	<b>33</b>
<b>Points to Keep In Mind.....</b>	<b>35</b>
<b>Appendix A: Changing a Tier Certification from Tier 1 to Tier 2 or From Tier 2 to Tier 1 .....</b>	<b>36</b>
<b>Appendix B: Changing a Tier Certification After Given a Preliminary Approval .....</b>	<b>45</b>
<b>Appendix C: Changing a Tier Certification after Receiving Notification of OSA Concurring.....</b>	<b>46</b>
<b>Appendix D: Changing from Tier 1 to Tier 2 to an AUP Contract .....</b>	<b>47</b>
<b>Appendix E: Changing from an AUP Contract to a Tier 1 or Tier 2.....</b>	<b>48</b>

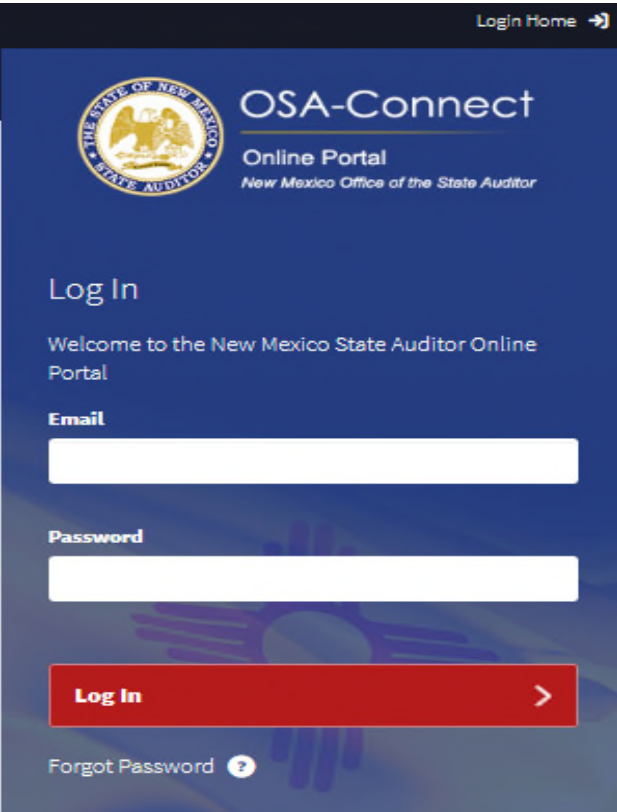
## Getting Started

Welcome to the new version of OSA-Connect. It is complete with a new color scheme.

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 page. At the top right, there is a 'Login Home' link with a right-pointing arrow. The main header includes 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 the 'Log In' section, which includes a welcome message: 'Welcome to the New Mexico State Auditor Online Portal'. There are two input fields: 'Email' and 'Password'. Below the input fields is a red 'Log In' button with a right-pointing arrow. At the bottom, there is a 'Forgot Password' link with a question mark icon. A green arrow points to the 'Forgot Password' link.

Quick Reference: What the status codes mean

**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

### 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.



## 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



3. Please enter in all the contact information.
4. Please select all the contact types that apply to you. This is a new step.
5. Click on “Add Contact” in the red box to save the new contact 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 >

## 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 Ralen Randel or Bernadet Martinez 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.

Search:  Show 10 entries

Agency Name	View Agency
Office of the State Auditor	View

< 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 interface. On the left, a dark blue sidebar contains the OSA-Connect logo and a menu with the following items: Agency Dashboard, Agency Profile, View Contract Forms, and FAQs. The main content area is titled "Agency Dashboard" and features 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 row lists "Office of the State Auditor" with a "View" button next to it. Below the table are pagination controls: "< Previous 1 Next >" and "Showing 1 to 1 of 1 entries". A green arrow on the left points to the "Agency Profile" menu item, and another green arrow on the right points to the "View" button in the table.

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



At the top of the Agency Profile page you will see an area called "Manage Agency Contacts."

2. Please 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.

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

The screenshot displays the OSA-Connect Online Portal interface. On the left is a navigation menu with options: Agency Dashboard, Agency Profile (selected), View Contract Forms, and FAQs. The main content area is titled "Agency Profile" and features a "Manage Agency Contacts" section. This section includes a search bar, a "Show 10 entries" dropdown, and an "Add Contact +" button. Below these is a table with the following data:

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>

Below the table is a pagination control showing "Showing 1 to 2 of 2 entries". The "Remove" link for the first contact is highlighted with a green arrow. Below the table is the "Update Agency Profile Details" section, which contains input fields for "Agency Name" (Office Of The State Auditor) and "Agency Number" (308), a dropdown for "Agency Type" (State Agencies), and a link for "Local Public Bodies Tier Determination Form".

Different agency contact types have been added.

3. Please select all the contact types that apply to you.
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 >

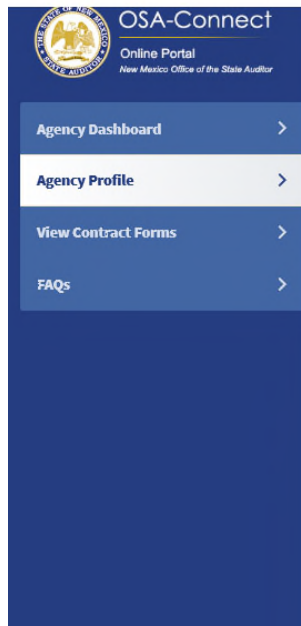
### View / Edit Contact

Agency Contact Details

<b>First Name</b> Frank S	<b>Last Name</b> Valdez
<b>Salutation</b> Mr.	<b>Title</b> Staff/Contracts Manager
<b>Email Address</b> fvbetatest@gmail.com	<b>Confirm Email Address</b> <small>Optional</small>
<b>Phone Number</b> 5054763800	<b>Type</b> <small>Optional</small> <input type="checkbox"/> Agency Head <input checked="" type="checkbox"/> Agency Contact <input checked="" type="checkbox"/> Agency Contract Contact
<b>Old Password</b> <small>Optional</small>	
<b>New Password</b> <small>Optional</small>	<b>Confirm New Password</b> <small>Optional</small>

**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.



**Contact was successfully updated.** ←

### 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

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#### Update Agency Profile Details

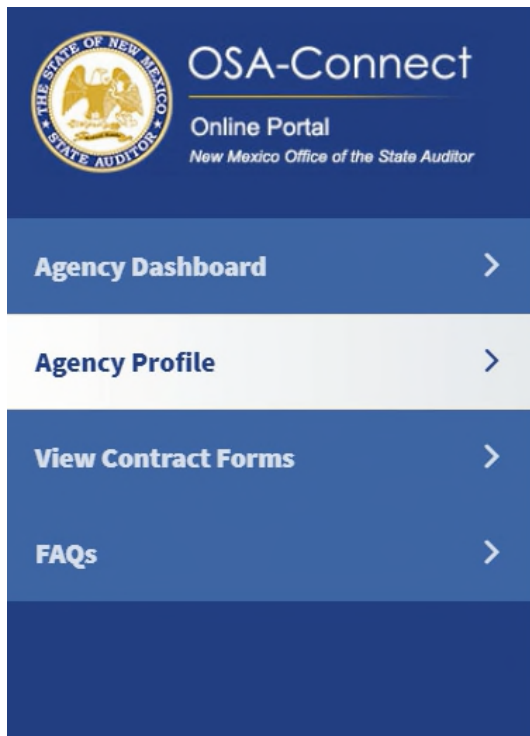
**Agency Name**  **Agency Number**

**Agency Type**  [Local Public Bodies Tier Determination Form](#)

### The Local Public Body Tier Determination Form Process

Annually, the state auditor provides local public bodies written authorization to obtain services to conduct a financial audit or other procedures.

1. Upon receipt of the authorization, a local public body determines its annual revenue in accordance with Subsection A of Section 2.2.2.16 NMAC
2. To start the process, click on “Local Public Bodies Tier Determination Form” black box. It is a link to take you to the form.



The image shows the left-hand navigation menu of the OSA-Connect Online Portal. At the top is the logo for the State of New Mexico Office of the State Auditor. Below the logo are four menu items, each with a right-pointing chevron: "Agency Dashboard", "Agency Profile", "View Contract Forms", and "FAQs".

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 is provided below. The form will assist you in determining the type of financial reporting a local public body submits 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.

EXHIBIT A - Determination Form

Revised: 7/15/16

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:**

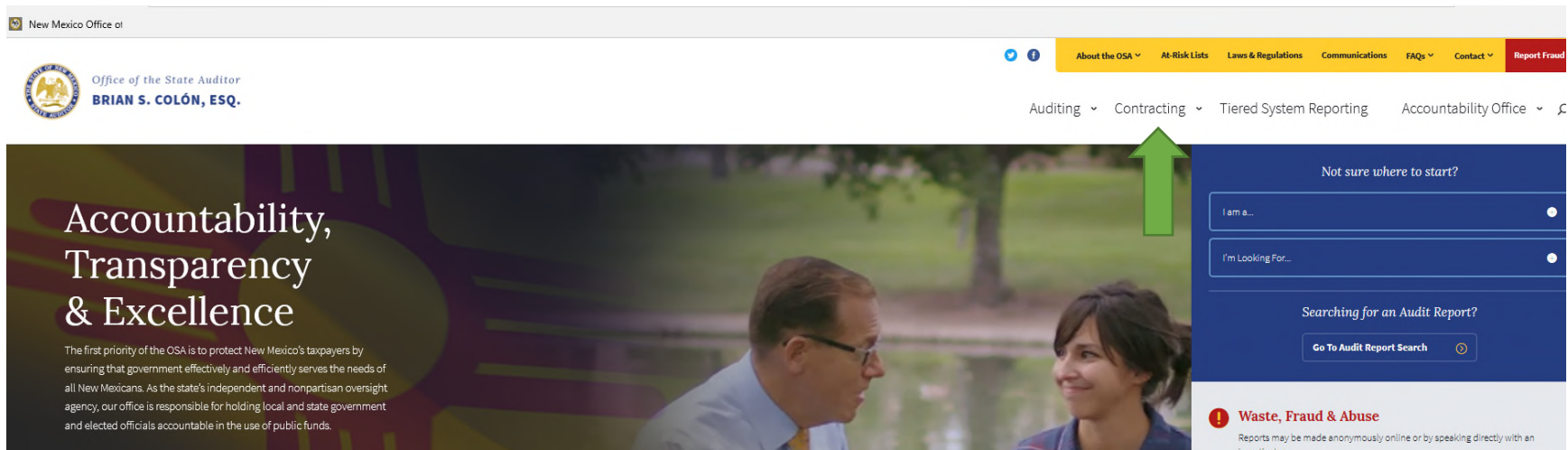
- If your local public body (including a component unit housing authority, if applicable) expended \$750,000 or more in federal funds and is required by the grantor to obtain a single audit of the financial statements and federal funds in accordance with the Uniform Guidance for Federal Awards, then check

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 procures services of an Independent Public Accountant (IPA) for the performance of a financial and compliance audit and submission of an audit contract. An audit contract is different than a 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.



LPB Tier 1 or Tier 2 -Managing the Agency Type

1. 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 the selection determines which type of contract will be created or if a certification will be created.

The screenshot displays the OSA-Connect Online Portal interface. On the left, a navigation menu includes 'Agency Dashboard', 'Agency Profile', 'View Contract Forms', and 'FAQs'. The main content area shows a dropdown menu for 'Agency Type' with the following options: 'Local Public Body (LPB) - Tier 1', 'Local Public Body (LPB) - Tier 2', 'Local Public Body (LPB) - Tier 3', 'Local Public Body (LPB) - Tier 4', 'Local Public Body (LPB) - Tier 5', 'Local Public Body (LPB) - Tier 6', 'Local Public Body (LPB) - Do Not Qualify for Tiered System', 'Comprehensive Annual Financial Report (CAFR)', '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)'. The 'Local Public Body (LPB) - Tier 1' option is selected in the dropdown below the menu. A 'Local Public Bodies Tier Determination Form' link is visible at the bottom right.

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

The screenshot displays the OSA-Connect Online Portal interface. On the left is a navigation menu with the following items: Agency Dashboard, Agency Profile (highlighted), View Contract Forms, and FAQs. The main content area is titled 'Update Agency Profile Details' and contains the following form fields:

- Agency Name:** Office Of The State Auditor
- Agency Number:** 308
- Agency Type:** Local Public Body (LPB) - Tier 1 (dropdown menu)
- Phone:** 505-476-3800
- Fax (Optional):** 505-827-3512
- Address:** 2540 Camino Edward Ortiz, Suite A
- City:** Santa Fe
- State:** New Mexico (dropdown menu)
- 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. A green arrow points to this button from the bottom right. A red box highlights the 'Save Information' button. A small red box is also visible in the top right corner of the page.





## Submission of Tier Certification Form Process

1. Select “View Contract Forms” on the left hand side, and click on the “Generate Form” box.

**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
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



2. Verify the correct agency type was generated to avoid any type of rejection.
3. If the agency type is not correct, go back, and click on the “Agency Type” drop down menu to open the drop down menu and select the correct agency type, and redo 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**  
Office of the State Auditor

**Address Of Local Public Body**  
2540 Camino Edward Ortiz, Suite A

**City**  
Santa Fe

**State**  
NM

**Phone**  
505-476-3800

**Local Public Body Contact Name**  
Frank S Valdez

**LPB Head *Optional***  
Frank S Valdez

**Zip**  
87507

<
Dec
2019
>

Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

4. Please complete all data fields and check all boxes and ensure both revenue boxes are entered.
5. Select the correct tier either Tier 1 or Tier 2 that you are certifying based upon your earlier determination.

Note, if you determined your entity is a Tier 1 this year, you should be checking the box for the question “Did not expend 50% or the remainder of any capital outlay award appropriated by the New Mexico Legislature during the fiscal year listed above.” That is a requirement for a Tier 1 entity.

If the 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.

**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

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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** 

Three green arrows point to the first radio button, the Tier 1 radio button, and the Save Information button.

You can return to the OSA-Connect at a later time, however you will need to attest at that time before submitted it to OSA.

(Note: If you have made an error, OSA Connect will prompt you to correct it. Please correct prior to submission.)

**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: 505-827-3512

Local Public Body Contact Name: Test Test  
Email Address: Intermivo@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 Revenue:  
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.

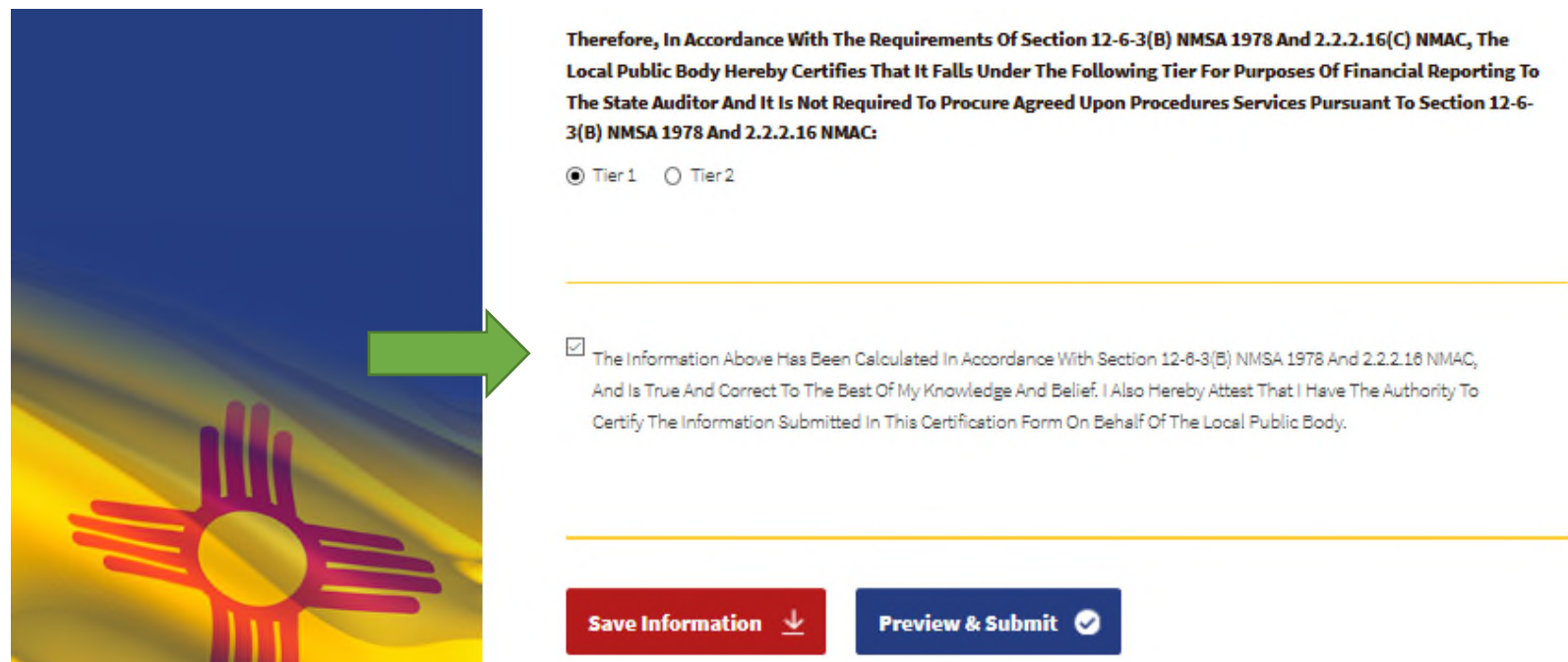
Save Information ↓   Preview & Submit ✓

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



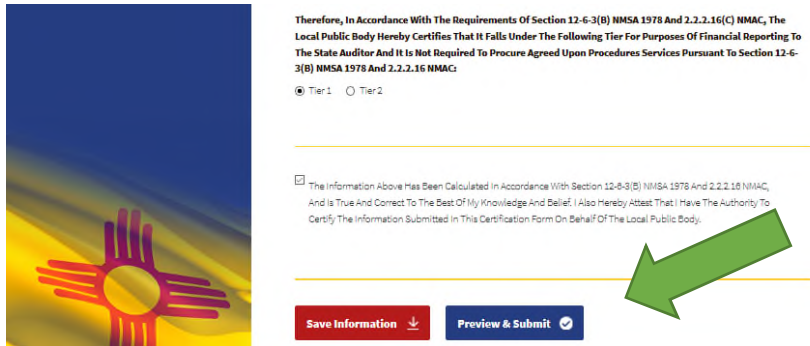
The screenshot shows the OSA-Connect Online Portal interface. At the top left is the logo for the State Auditor of New Mexico. The main header reads "OSA-Connect Online Portal New Mexico Office of the State Auditor". A navigation menu on the left includes "Agency Dashboard" and "Agency Profile". A green arrow points to a success message at the top: "! Information saved successfully". Below this is the "Generate Certification" section, which includes instructions: "Please enter all contract information below. If not applicable, please put N/A in the field." The form shows "Agency Type: Local Public Body (LPB) - Tier 1" and a text input field for "Name Of Local Public Body" containing "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.



This screenshot shows the bottom portion of the certification form. It features a blue sidebar on the left with a green arrow pointing to the attest box. The main content area contains the following text: "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 text are two radio buttons: "Tier 1" (selected) and "Tier 2". A horizontal line separates this from the attest box, which contains a checked checkbox and the text: "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.

7. Click on the “Preview & Submit” 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](#)

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.



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: 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: Intertwo@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: \$8000.00

My local public body also:

- 8. Click on “Save & Print” box to save for your records and use.
- 9. Submit the draft certification by clicking the “Save & Notify OSA” box.

If it was submitted to OSA successfully, a 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

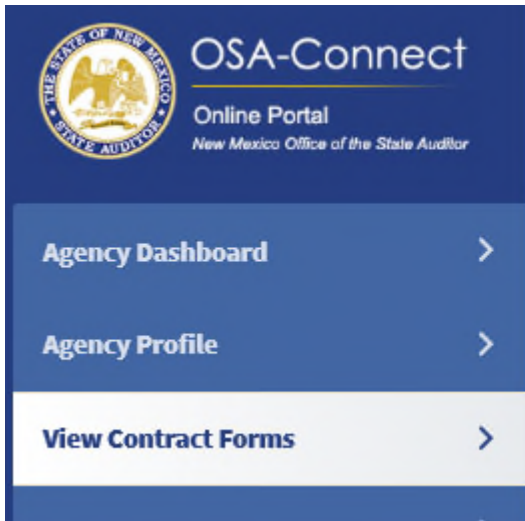
Local Public Body Contact Name: Test Test

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



The image shows the navigation menu for the OSA-Connect Online Portal. At the top left is the seal of the State Auditor of New Mexico. To its right, the text reads "OSA-Connect Online Portal" and "New Mexico Office of the State Auditor". Below this are three menu items: "Agency Dashboard", "Agency Profile", and "View Contract Forms", each with a right-pointing chevron. The "View Contract Forms" item is highlighted with a white background.

## 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

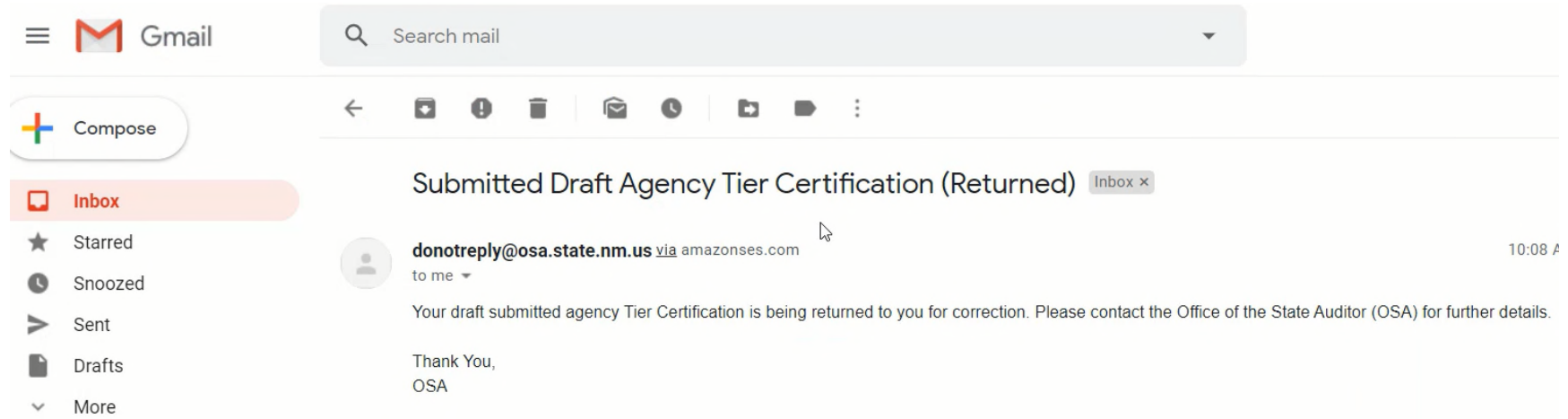
Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/14/2020 10:39:03 AM	2020	Test Test	Submitted	<a href="#">View</a>



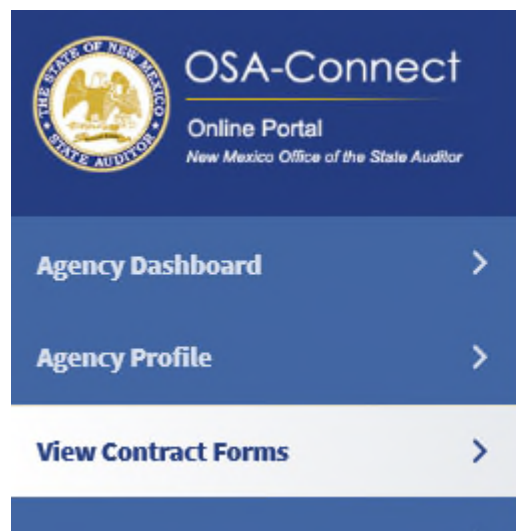


### A Returned Certification for Errors or Omissions

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 changed to “In Progress” signifying the certification was not approved, and further action is needed.



## 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:

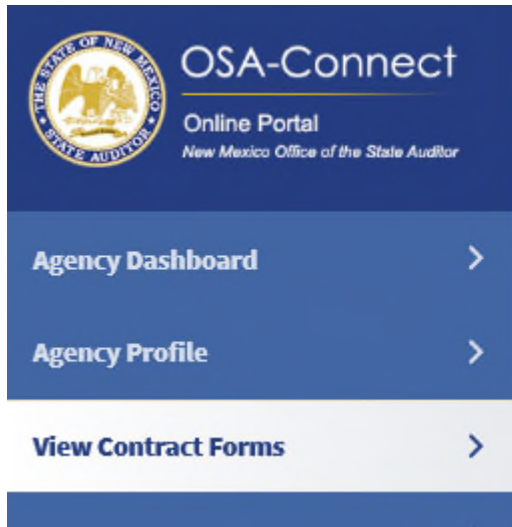
Show 10 entries

Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/14/2020 11:05:51 AM	2020	Test Test	In Progress	Edit



## Certification Resubmission Process

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



The screenshot shows the OSA-Connect Online Portal navigation menu. The menu items are: Agency Dashboard, Agency Profile, View Contract Forms, and FAQs. The 'View Contract Forms' item is highlighted with a white background and a right-pointing arrow.

## View Contract Forms

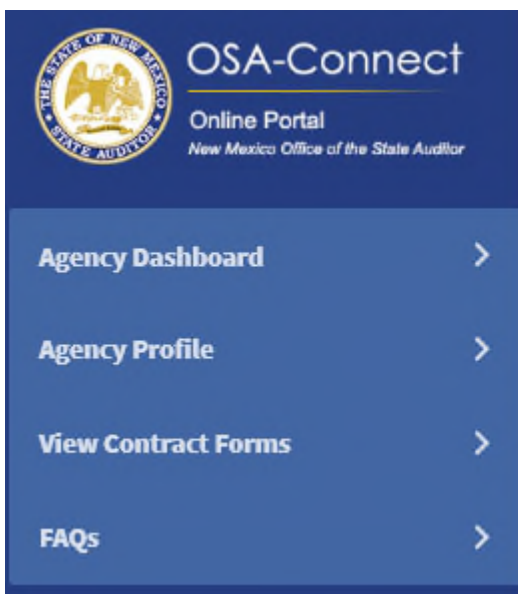
Before you generate a new contract, please check the table below to see if one has already been created.

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	Edit

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



The screenshot shows the OSA-Connect Online Portal navigation menu. The menu items are: Agency Dashboard, Agency Profile, View Contract Forms, and FAQs. The 'View Contract Forms' item is highlighted with a white background and a right-pointing arrow.

## 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.

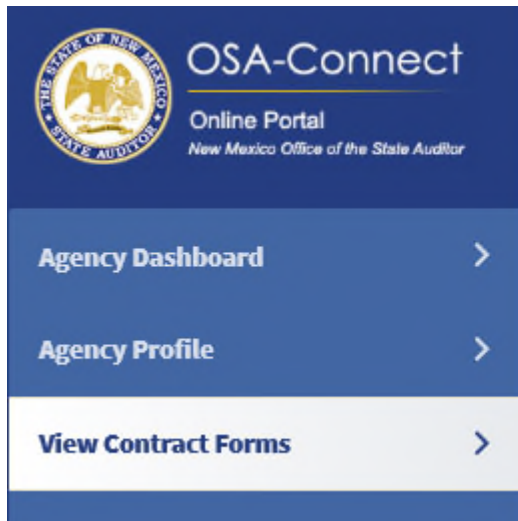
Agency Type: **Local Public Body (LPB) - Tier 1**

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.



The image shows the navigation menu for the OSA-Connect Online Portal. It features the New Mexico State Auditor's seal and the text "OSA-Connect Online Portal New Mexico Office of the State Auditor". The menu items are "Agency Dashboard", "Agency Profile", and "View Contract Forms", each with a right-pointing chevron icon. The "View Contract Forms" item is highlighted with a light blue background.

## 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	<a href="#">View</a>

The New OSA-Connect Has a New Two Step Tier Certification Approval Process.

In the first step, an entity will receive a preliminary approval.

- An email will be sent out indicating an OSA preliminary approval.
- Also, 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.

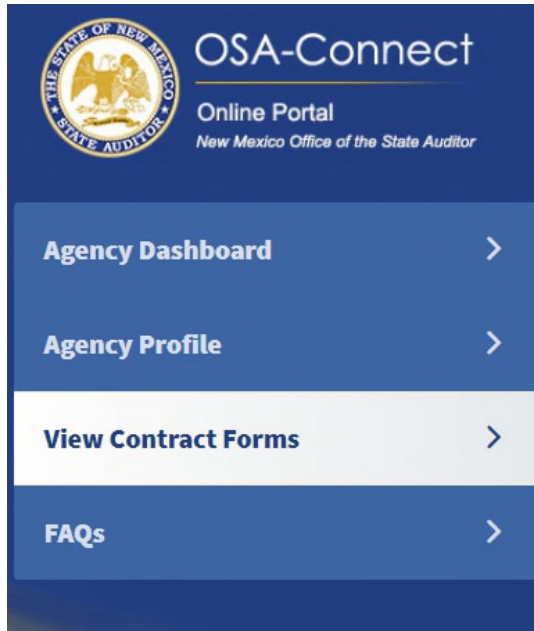
The screenshot shows the OSA-Connect interface. On the left is a sidebar menu with the following items: Agency Dashboard, Agency Profile, View Contract Forms, and FAQs. The main content area has a heading: "Before you generate a new contract, please check the table below to see if one has already been created." To the right of this heading is a "Generate Form" button. Below the heading is a search bar and a "Show 10 entries" dropdown. The table below has the following data:

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 draft to print, fill out, and have signed by a person that has the authority to certify the information.
2. Scan and save in your computer.

## The New Tier Certification Submission Process

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



The image shows the OSA-Connect Online Portal navigation menu. It features the New Mexico State Auditor's logo and the text "OSA-Connect Online Portal New Mexico Office of the State Auditor". The menu items are: Agency Dashboard, Agency Profile, View Contract Forms (highlighted), and 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	Submitted	View
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Preliminary Approval	View Upload

3. Locate your document, 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.

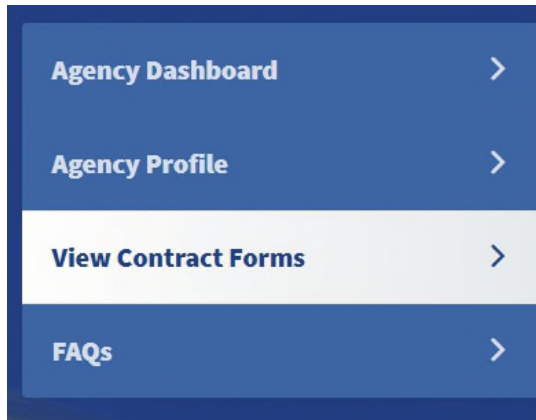
Choose File No file chosen



The image shows two buttons: a red "Upload" button with a right-pointing arrow and a blue "Cancel" button. A green arrow points to the "Upload" button.

Notice that the status 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.



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>

## The Second Step of the 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.



The image shows the OSA-Connect Online Portal navigation menu. It features the State of New Mexico seal and the text "OSA-Connect Online Portal New Mexico Office of the State Auditor". The menu items are: Agency Dashboard, Agency Profile, View Contract Forms (highlighted), and FAQs.

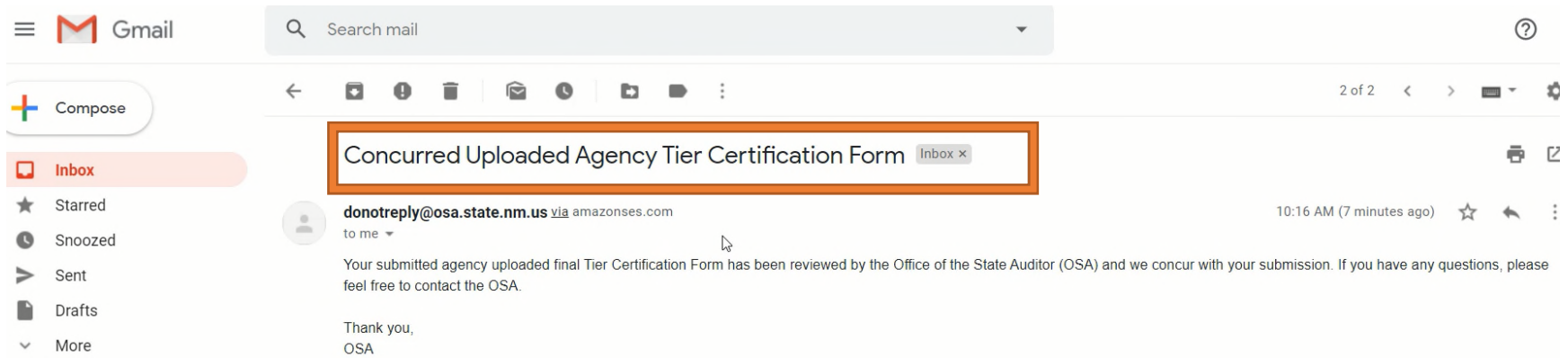
## View Contract Forms

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

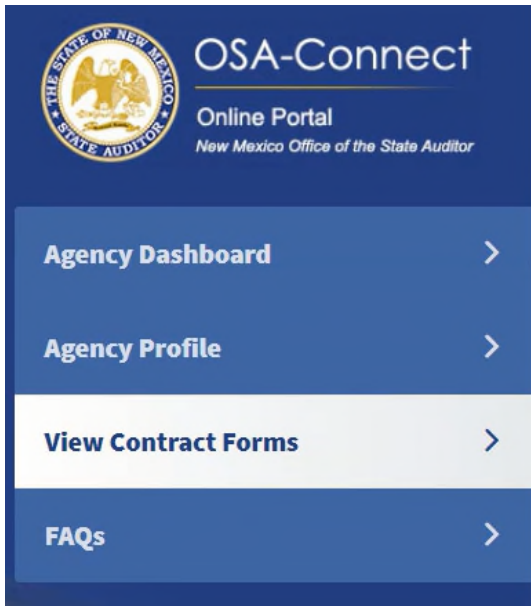


The image shows a Gmail interface. The email subject is "Concurred Uploaded Agency Tier Certification Form". The sender is "donotreply@osa.state.nm.us via amazonses.com". The email content reads: "Your submitted agency uploaded final Tier Certification Form has been reviewed by the Office of the State Auditor (OSA) and we concur with your submission. If you have any questions, please feel free to contact the OSA. Thank you, OSA".

Access to Signed Tier Certifications

Signed tier certifications will be accessible in “View Contract Forms” on the left hand side by clicking on the “Certification” link.

In the future, you will be able to access old signed tier certifications submitted after the new OSA-Connect roll out date in 2020.



## View Contract Forms

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

[Generate Form +](#)

Search:  Show 10 entries

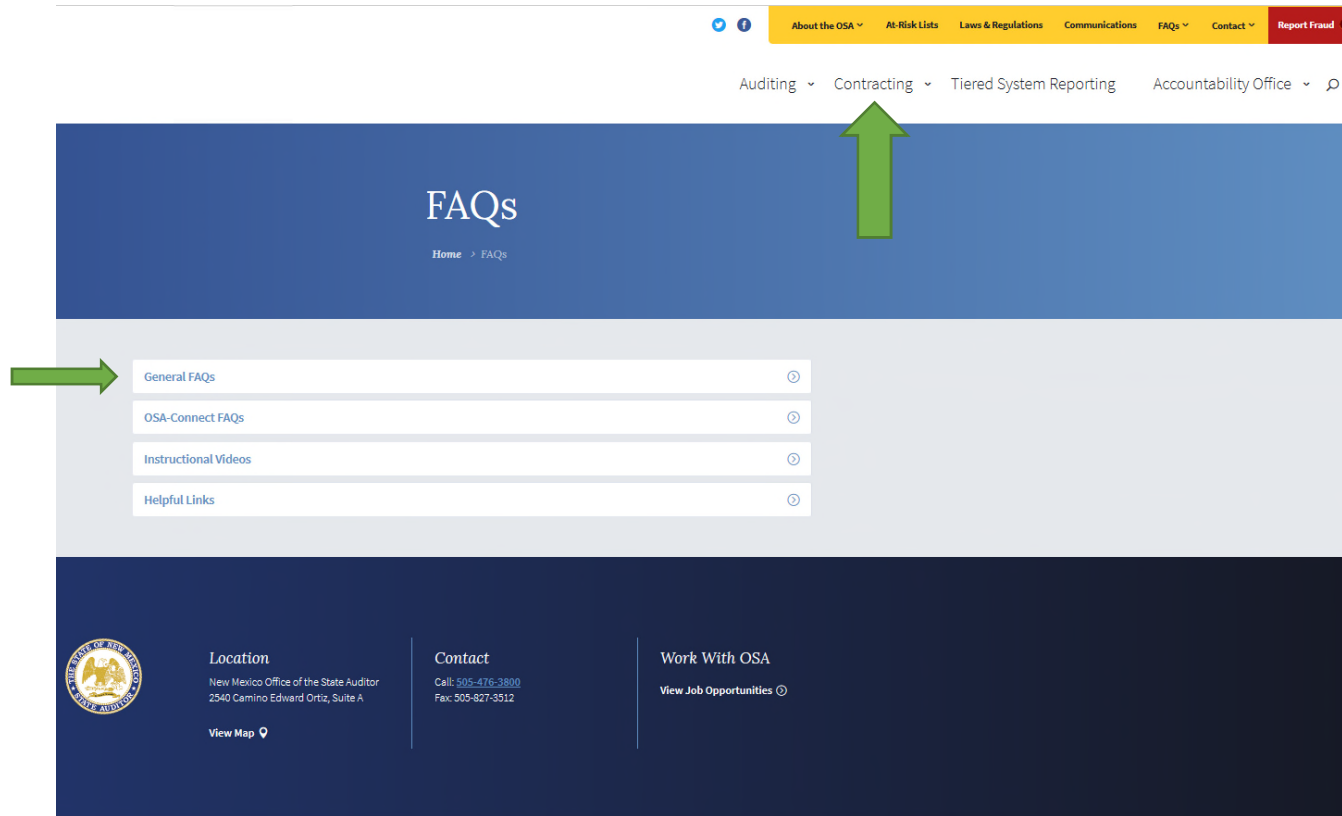
Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/3/2020 10:10:36 AM	2019	Frank S Valdez	In Progress	<a href="#">Edit</a>
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Executed	<a href="#">Certification</a>





## FAQs on Our OSA Website Page

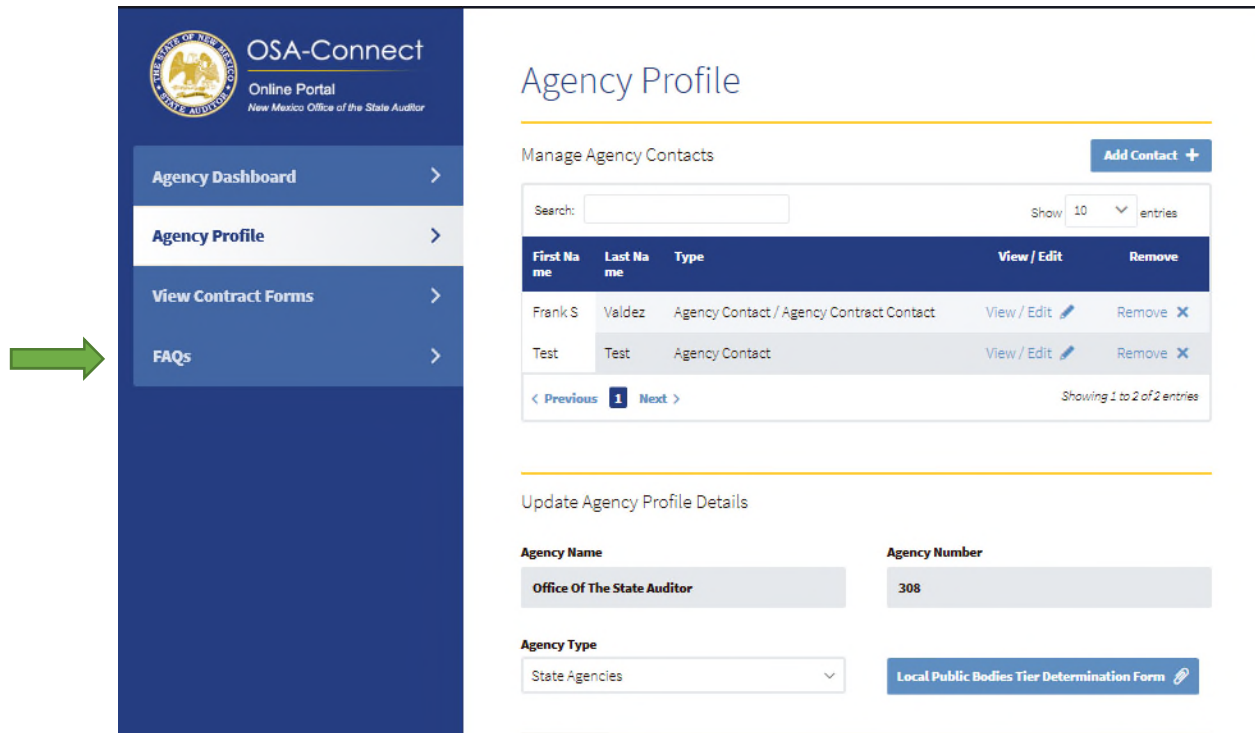
If you have any questions on the OSA-Connect contract process, answers are often found in FAQs on our OSA website page in the contracting area as seen below.



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 navigation links: 'Agency Dashboard', 'Agency Profile', '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](#)

Please Keep in Mind:

- The tier certification is 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 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:

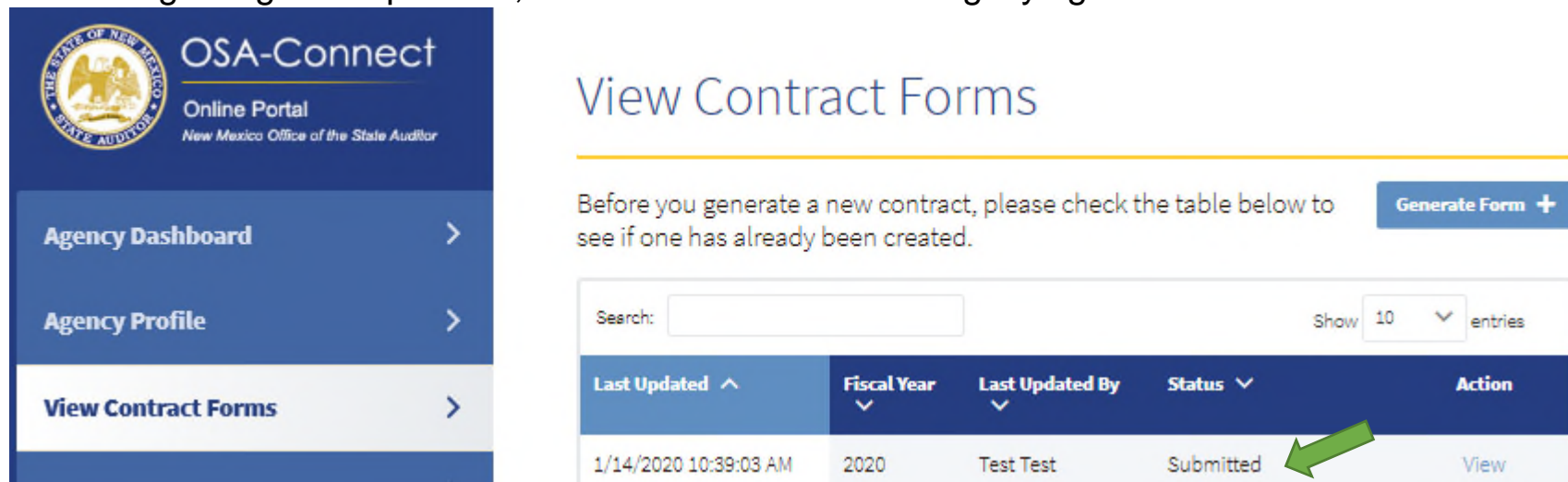
- **Tier certifications and contracts for past fiscal years for entities who are catching up on late audits, AUPs, or tier certifications**

# 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.



The screenshot shows the OSA-Connect Online Portal interface. On the left is a navigation menu with options: Agency Dashboard, Agency Profile, and View Contract Forms. The main content area is titled "View Contract Forms" and includes a "Generate Form" button. Below this is a table with columns: Last Updated, Fiscal Year, Last Updated By, Status, and Action. A single row is visible with the status "Submitted", which is highlighted by a green arrow.

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 Chantal at OSA to let her know your entity is changing the Tier Certification (from Tier 1 to Tier 2 or from Tier 2 to Tier 1).



2. Chantal will deny your first submission, so you can open and change your tier certification. Notice the status changed to “In Progress” as seen below.

The image shows the left-hand navigation menu of the OSA-Connect Online Portal. At the top is the logo for the State Auditor of New Mexico. Below the logo, the text reads "OSA-Connect Online Portal" and "New Mexico Office of the State Auditor". The menu items are: "Agency Dashboard", "Agency Profile", and "View Contract Forms". The "View Contract Forms" item is highlighted with a white background and a right-pointing arrow.

## 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	<a href="#">Edit</a>



3. Go back to “Agency Profile” on the left hand side.
4. Click on the “Agency Type” drop down menu 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.

The screenshot displays the OSA-Connect Online Portal interface. On the left is a dark blue navigation sidebar 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 contains several form fields. At the top right of the main area, there is a pagination control showing "< Previous 1 Next >" and "Showing 1 to 2 of 2 entries". The form fields include: Agency Name (Office Of The State Auditor), Agency Number (308), Agency Type (Local Public Body (LPB) - Tier 2, highlighted with an orange box), Phone (505-476-3800), Fax (Optional, 505-827-3512), Address (2540 Camino Edward Ortiz, Suite A), City (Santa Fe), State (New Mexico), Zip (87507), and Website Address (Optional, www.saonm.org). A blue button labeled "Local Public Bodies Tier Determination Form" with a paperclip icon is located to the right of the Agency Type field. At the bottom of the form is a red button labeled "Save Information" with a right-pointing arrow, which is pointed to by a green arrow.

If it was Tier 2 Certification was successfully updated, a green text at the top of the page will read “! The profile has been successfully updated.” Then you can continue working.

 **The profile has been successfully updated.**



## Agency Profile

Manage Agency Contacts

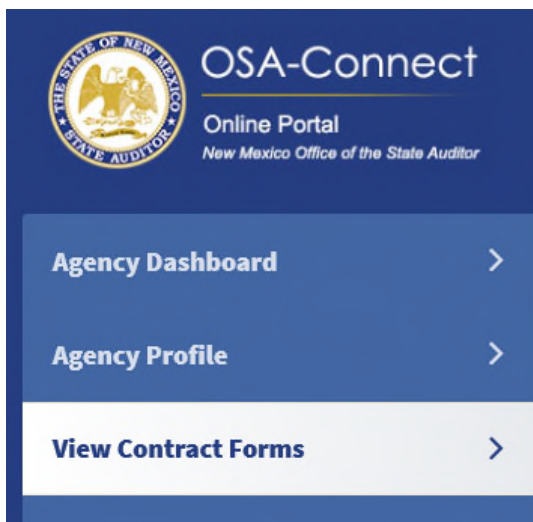
[Add Contact +](#)

Search:

Show 10 entries

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

3. 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 +](#)

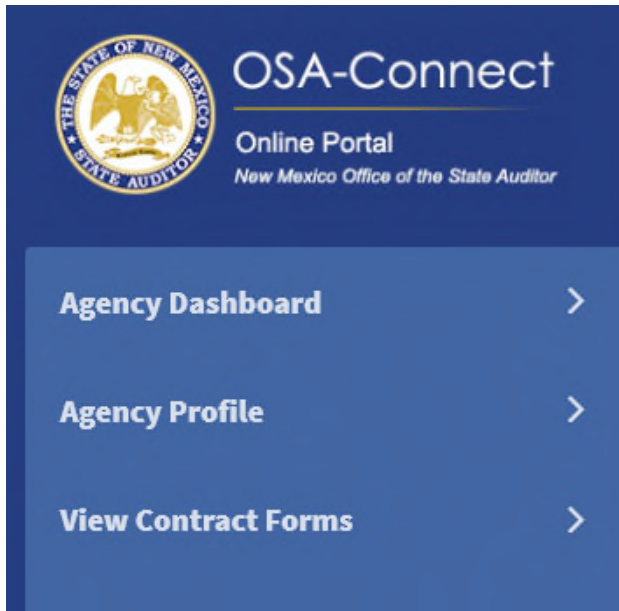
Search:

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



- 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.
- Enter the new information for a Tier 2 certification.

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*

JackRyan

**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



6. 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.



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

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

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

9. 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: JackRyan

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

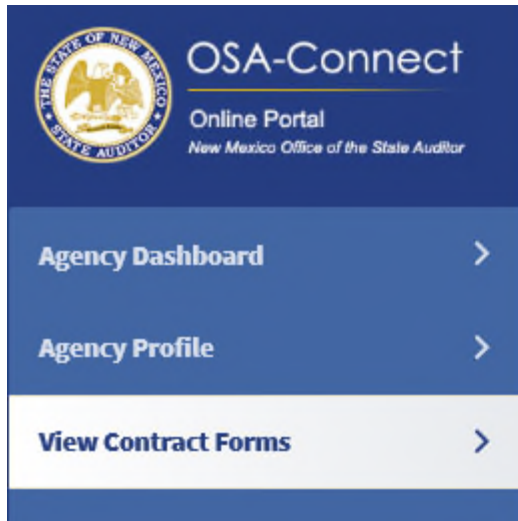


10. Click on “Save & Print” box to save for your records and use.

11. Submit the draft certification by clicking the “Save & Notify OSA” box.

If it was submitted to OSA successfully, a green text at the top of the page will read “! 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.



The image shows the left-hand navigation menu of the OSA-Connect Online Portal. At the top is the logo for the State Auditor of New Mexico. Below the logo, the text reads "OSA-Connect Online Portal" and "New Mexico Office of the State Auditor". The menu items are: "Agency Dashboard", "Agency Profile", and "View Contract Forms", each with a right-pointing chevron icon.

## 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

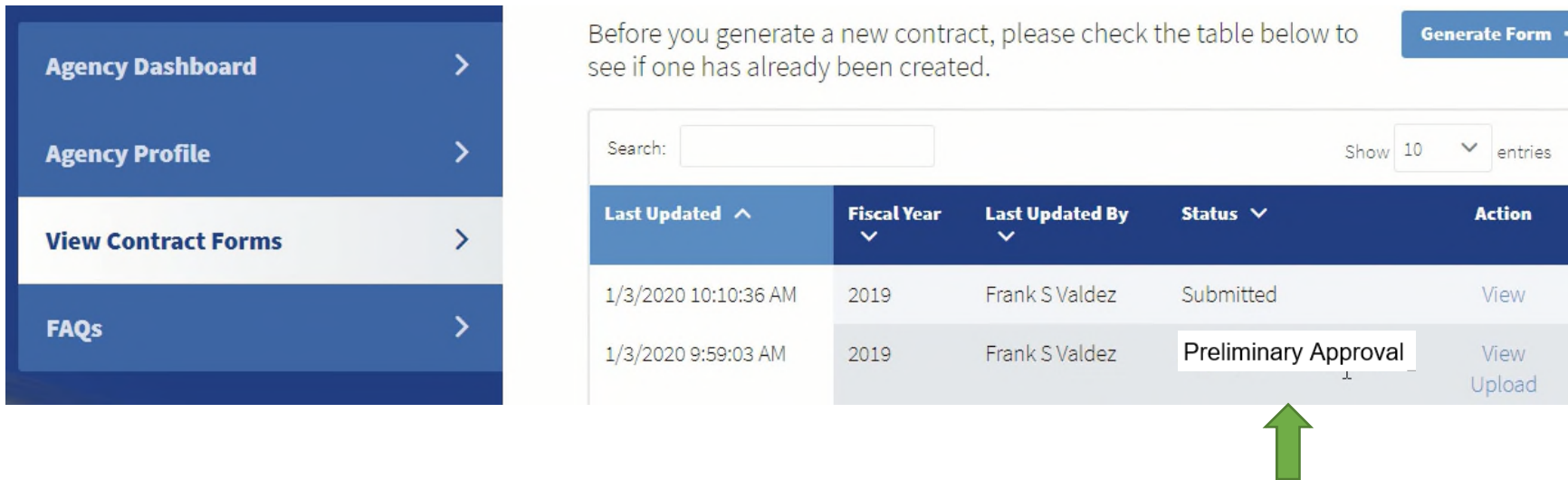
Last Updated ^	Fiscal Year v	Last Updated By v	Status v	Action
1/14/2020 11:56:50 AM	2020	Test Test	Submitted	View

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	View
1/3/2020 9:59:03 AM	2019	Frank S Valdez	Preliminary Approval	View Upload

1. First, contact Chantal at OSA to let her know 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.



The image shows the left-hand navigation menu of the OSA-Connect Online Portal. At the top is the logo for the State of New Mexico Office of the State Auditor. Below the logo, the text reads "OSA-Connect Online Portal" and "New Mexico Office of the State Auditor". The menu items are: "Agency Dashboard", "Agency Profile", "View Contract Forms" (which is highlighted in white), and "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 +

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. First, contact Chantal at OSA to let her know 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. First, contact Chantal at OSA to let her know 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.
3. *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. First, contact Chantal at OSA to let her know your entity is changing (from an AUP contract (Tiers 3 through 6) to a Tier 1 to 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.*