

Boundary and Annexation Survey (BAS) Respondent Guide: BAS State Certification

Revised as of September 25, 2018



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PAPERWORK REDUCTION ACT STATEMENT

A federal agency may not conduct or sponsor, nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act (PRA) unless that collection of information displays a current valid Office of Management and Budget (OMB) Control Number. This collection is voluntary. The authority for conducting this collection comes from Title 13 United States Code (U.S.C.), Section 6 of the Paperwork Reduction Act (PRA). By law, the Census Bureau can only use responses to produce statistics.

This collection has been approved by the Office of Management and Budget (OMB). The eight-digit OMB approval number that appears at the upper right of this guide confirms this approval. If this number were not displayed, we could not conduct this survey.

We estimate that completing the collection of this information will take between 2 and 4 hours on average per response, including the time for reviewing instructions, completing, and reviewing the collection of information depending upon the program.

Email comments to <geo.bas@census.gov>, use “Paperwork Reduction Project 0607-0151” as the subject. Additionally, participants can send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing the burden to:

*U.S. Department of Commerce
Paperwork Reduction, PCOB
United States Census Bureau
4600 Silver Hill Road, Room 4H177
Washington, DC 20233*

The Census Bureau issued a *Federal Register Notice* to revise its confidentiality pledge language to address the new cybersecurity screening requirements:

The U.S. Census Bureau is required by law to protect your information. The Census Bureau is not permitted to publicly release your responses in a way that could identify you. Per the Federal Cybersecurity Enhancement Act of 2015, your data are protected from cybersecurity risks through screening of the systems that transmit your data.

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INTRODUCTION TO THE BOUNDARY AND ANNEXATION SURVEY (BAS) STATE CERTIFICATION PROGRAM

The Boundary and Annexation Survey (BAS) State Certification Program invites the Governor-appointed State Certifying Official (SCO) to review the information that local governments reported to the U.S. Census Bureau during the previous BAS. The BAS is an annual survey of local and county governments conducted by the Census Bureau to collect legal boundary updates, names of legally defined geographic areas, and the functional status of governmental units.

The purpose of the BAS State Certification Program is to verify the accuracy, validity, and completeness of the BAS information with the state governments. Every year, the Census Bureau distributes an email to the SCO that includes a link to the BAS State Certification webpage containing the listings of the information collected from the previous BAS year. These listings include the attribute information for disincorporations and legal boundary changes reported during the previous BAS, as well as the names and functional statuses of incorporated places and minor civil divisions (MCDs).

The SCO should review these listings and certify any records that were legally implemented in accordance with their state laws. Depending on the state laws, the SCO may request the Census Bureau edit the attribute information or remove invalid records from the listings. The SCO may also notify the Census Bureau of records that are missing from the listings. If a state does not have a law in effect mandating local governments to report status or boundary changes to a state agency, the Census Bureau will provide the listings to the SCO for informational purposes only.

The letter attached to the BAS State Certification email to the SCO lists the types of changes that are required by state law to be reported to a state level agency. If there is an error in this information, please provide an explanation of the state laws in question to the Census Bureau's Geography Division by email at <geo.bas@census.gov>.

CHAPTER 1. STATE CERTIFICATION LISTINGS

This section discusses the BAS State Certification listings, which are located on the BAS website at the following link: <<https://www.census.gov/programs-surveys/bas/information/state-certification-program.html>>.

- **List 1** – Entities reported to the Census Bureau that have discontinued, become inactive, or otherwise ceased to exist. This listing is only available if a deleted entity was reported to the Census Bureau during the <YYYY> BAS.
- **List 2** – Reported legal boundary changes (annexations, deannexations/detachments, etc.) to active incorporated places within the state as of January 1, <YYYY>.
- **List 3** – All governmentally active and inactive incorporated places in the state, according to the Census Bureau’s records as of January 1, <YYYY>.
- **List 4** – All governmentally active and inactive MCDs in the state, according to Census Bureau’s records as of January 1, <YYYY>.

CHAPTER 2. PREVIEW OF CERTIFICATION PROCEDURES

Please review each record in each listing. The SCO has authority to submit any changes to the Census Bureau. Report determinations for each record by entering ONE of the following action codes in the listing files' 'Cert.' column, which are defined in the table below:

Table 1: Action Codes and Descriptions

Action Code	Description
C	Certify. The SCO certifies that the information for the record is complete, accurate, and conforms to applicable state laws.
A	Add. The SCO adds a record from the state's file that is missing from the listing.
R	Reverse. The SCO requests to remove an invalid record from the listing.
E	Edit. The SCO edits the attribute information for an existing record in the listing.
X	Duplicate Entry. The SCO indicates that the record is a duplicate of another record in the listing.
<blank>	Leaving a blank field means there are no actions for the record. The Census Bureau will continue to maintain the record and its current attribute information.

CHAPTER 3. STATE LAWS

The SCO is responsible for understanding the laws in their state that pertain to legal boundary changes, new incorporations, and disincorporations/dissolutions since this will determine the extent to which the Census Bureau will accept changes to the BAS State Certification listings. Strong law states require local governments to report any legal actions causing changes to their legal boundaries to the state government. If such laws are in effect, the SCO should have access to a complete boundary change file through the state government, which they shall use to compare with the Census Bureau listings. In strong law states, the SCO may pursue any of the actions described in **Table 1**.

In states that do not have such laws, the SCO does not need to submit the edited listings to the Census Bureau. However, if the SCO does have access to a state-level boundary change file, they may use it to certify or add missing records to the BAS State Certification listings. In most cases, the Census Bureau will accept these actions. Reversals and edits will not be accepted unless these changes are confirmed by the local governmental entity affected by the change.

CHAPTER 4. ACCESSING THE BAS STATE CERTIFICATION MATERIALS

All BAS State Certification materials, including the listings for review and this respondent guide can be found on the BAS State Certification webpage at the following location:

<<https://www.census.gov/programs-surveys/bas/information/state-certification-program.html>>.

From the BAS State Certification Program webpage, go to the section of the page that reads, **“Download BAS State Certification Materials.”** In the **“Select a Geography”** drop-down box under **“Choose a State to View,”** the SCO selects the state the SCO is responsible for reviewing. Upon selection of the state name, the website directs to a File Transfer Protocol site. Download the contents of the folder. These are the listings that are referenced throughout this document and that the SCO will review for the BAS State Certification Program.

CHAPTER 5. LIST 1: ENTITIES THAT DISINCORPORATED, BECAME INACTIVE, OR CEASED TO EXIST

5.1 Data File Description

List 1 (Figure 1) contains the names of all geographic entities in the state that have discontinued, became inactive (no longer have officers, collect revenue, or conduct governmental activities), or otherwise ceased to exist as of January 1, <YYYY>. Table 2 provides an explanation of the fields in the data file.

Table 2: List 1 Data File Field Descriptions

Column	Field Name	Description
A	Place Name and LSAD	Entity's name and expanded legal/statistical area description.
B	County	County/counties in which the entity is located.
C	Effective Date	The date on file for when the entity discontinued, became inactive, or otherwise ceased to exist.
D	Effective Date Update	Will be initially blank so the SCO can provide edits to the data in the Effective Date field without overriding original data.
E	Cert.	Will be initially blank so the SCO may certify the records as correct and complete.
F	Memo	Will be initially blank so the SCO may include any notes regarding a certain record.

	A	B	C	D	E	F
1	ENTITIES THAT DISINCORPORATED, BECAME INACTIVE, OR CEASED TO EXIST AS SEPARATE ENTITIES					
2	NOTE: PLACE ALL EDITS IN THE BLANK COLUMN TO THE RIGHT OF THE COLUMN YOU WISH TO UPDATE.					
3						
4	Place Name and LSAD*	County	Effective Date	Effective Date Update	Cert.	Memo
5	Edna Bay city	Prince of Wales-Hyder Census Area	10/02/2014			
6	Petersburg Borough	Petersburg Borough	1/3/2013			
7						
8						
9	*LSAD=expanded legal/statistical description					
10	Certification: I certify to the best of my knowledge, that the attached list of boundary changes is complete and correct as of January 1 for all places shown and that the effective date is correct for each change, except as specified by the added notes.					
11						

Figure 1. List 1

5.2 Instructions

Please review the data file to ensure that it provides a complete and correct inventory of all entities that have disincorporated, become inactive, or otherwise ceased to exist as of January 1, <YYYY>.

For all records that are deemed to be correct and complete:

- In the Cert. field, enter a “C” if the record is complete, accurate, and conforming to applicable laws in the state.

If there is an entity that disincorporated, became inactive, or otherwise ceased to exist and is missing from the data file:

- In a new row at the bottom of the data file, enter the missing entity’s name and the entity type (such as town, township, city, etc.) under the Place Name and Legal/Statistical Area Description (LSAD) field; the date the entity disincorporated, became inactive, or otherwise ceased to exist into the Effective Date Update field; and provide an explanation in the Memo field.
- In the Cert. field, enter an “A.” This will inform the Census Bureau that an additional entity should be added to the list of deleted entities.

If any entity is listed in error:

- In the Cert. field, enter an “R” to notify the Census Bureau that this entity should be removed from the list of deleted entities.
- In the Memo field, provide an explanation why the entity should be removed.

If there is an error with the Effective Date for an entity:

- In the Effective Date Update field, enter the correct date the entity ceased to exist.
- In the Cert. field, type an “E” to notify the Census Bureau that the Effective Date must be edited in the list of deleted entities.

If any entity is duplicated:

- In the Cert. field, enter an “X” to inform the Census Bureau that this entity is a duplicate of another entity.
- In the Memo field, indicate the duplicate ID.

Upon completion of review of the List 1 data file, the SCO certifies the statement at the bottom of the file by typing their full name, title, and the date of concurrence below the provided statement.

CHAPTER 6. LIST 2: BOUNDARY CHANGES

6.1 Data File Description

The List 2 data file (Figure 2) provides an inventory of legal boundary changes to active incorporated places within the state that were reported to the BAS. If an entity is not listed in a file, it means that the entity did not report boundary changes effective as of January 1, <YYYY> to the <YYYY> BAS. Table 3 provides an explanation of the fields in the data file.

Table 3: List 2 Data File Field Descriptions

Column	Field Name	Description
A	Place Name and LSAD	Entity's name and expanded legal/statistical area description.
B	FIPS Place Code	Federal Information Processing Standards (FIPS) code for the place.
C	Action	Lists whether the boundary change is an annexation, detachment, or other type of action.
D	Action Update	Will be blank so the SCO may provide edits to the data in the Action field without overwriting original data.
E	Authorization Type	Lists the type of legal authorization that effected the change.
F	Authorization Type Update	Will be blank so the SCO may provide edits to the data in the Authorization Type field without overwriting original data.
G	Local Number	The identification number of the legal document that recorded the authorization effecting the change to the boundary.
H	Local Number Update	Will be blank so the SCO may provide edits to the data in the Local Number field without overwriting original data.
I	Local Effective Date	Lists the effective date of each action. (Please note that there may be a difference between the effective date of actions on this list and the effective date in the state's records because the Census Bureau's records contain a locally reported date.)
J	Local Effective Date Update	Will be blank so the SCO may provide edits to the data in the Local Effective Date field without overwriting original data.
K	Secondary Effective Number	The state legal action number identifying the legal document that recorded the authorization effecting the change to the boundary (if applicable).
L	Secondary Effective Number Update	Will be blank so the SCO may provide edits to the data in the Secondary Effective Number field without overwriting original data (if applicable).
M	Secondary Effective Date	Lists the effective date of each state legal action.
N	Secondary Effective Date Update	Will be blank so the SCO may provide edits to the data in the Secondary Effective Date field without overwriting original data.

Column	Field Name	Description
K or O	Acreage	Lists the reported acreage of the affected territory.
L or P	Acreage Update	Will be blank so the SCO may provide edits to the data in the Acreage field without overwriting original data.
M or Q	Keying Date	Lists the date that the record was entered into the Census Bureau's Master Address File/Topologically Integrated Geographic Encoding Referencing System (MAF/TIGER). The keying date may be used to research boundary changes on the Census Bureau's maps.
N or R	Cert.	Will be initially blank so the SCO may certify the records as correct and complete. (See Table 1.)
O or S	GCATOID	Field used internally to identify the change to the entity.
P or T	<Blank>	Will be blank so the SCO may provide additional information about the record if necessary.

D	E	F	G	H	I	J	K	L
BOUNDARY ACTIVITY FOR ACTIVE INCORPORATED PLACES								
NOTE: PLACE ALL EDITS IN THE BLANK COLUMN TO THE RIGHT OF THE COLUMN YOU WISH TO UPDATE.								
Action Update	Authorization Type	Authorization Type Update	Local Number	Local Number Update	Local Effective Date	Local Effective Date Update	Acreage	Acreage Update
	Ordinance		LBC_AKUTAN		06-04-2012			
	Ordinance		LBC_AKUTAN		06-04-2012			
	Ordinance		2015-006247-		03-25-2015			
	Ordinance		2015-006247-		03-25-2015			
	Ordinance		LBC_DILLINGH		04-12-2012			
	Ordinance		2010-011453-		06-30-2010			
	Ordinance		2010-011453-		06-30-2010			
	Ordinance		LBC_GUSTAVUS		03-08-2012			
	Ordinance		2015-018823-		09-03-2015			
	Ordinance		LBC_KACHEMAK		02-09-2012			
	Ordinance		LBC_PALMER		07-05-2012			
*LSAD=expanded legal/statistical description								
The attached list of boundary changes is complete and correct as of January 1 for all places shown and that the effective date is correct for								

Figure 2. List 2

6.2 Instructions

Please review the List 2 data file (Figure 2) to verify that:

- Each legal boundary change was accomplished in accordance with applicable state law.
- The place name, action, authorization type, local number, local effective date, acreage, and if applicable, secondary effective number and secondary effective date, shown for each record is correct.
- The Census Bureau's list is complete as of January 1, <YYYY>.

When reviewing the List 2 data file, the SCO may determine that a record(s) in the Census Bureau's data file does not match the state's records. If this occurs, please research if specific attributes of the change are incorrect or if the boundary update was not completed in accordance with state law(s).

NOTE: Some places provide the Census Bureau with the legal documentation along with maps of boundary changes. If the SCO wishes to view the legal documentation for a change, please send an email to <geo.bas@census.gov>. In the email, please specify the entity that the change affected, and the attribute information associated with the change in **List 2**. The Census Bureau will research to determine if we have any supplemental information for this change.

Once the SCO has completed the review of List 2, the SCO should be able to determine:

- If a boundary change was accomplished in accordance with pertinent state laws;
- If there was an error in the depiction of the boundary change and/or attribute information; or
- If boundary change was not accomplished in accordance with applicable state laws.

If a boundary change was accomplished in accordance with state law and the attribute data is correct:

- In the Cert. field, enter a "C" to indicate the record is correct, complete, and certified.

If a boundary update is missing from the Census Bureau's records:

- In a blank row at the bottom of the list, type the entity's name where the change occurred in the Place Name and LSAD field; "annexation" or "detachment" into the Action Update field; "ordinance," "resolution," "local law," "state-level action," or "other" into the Authorization Type Update field, the legal document number into the Local Number Update field, the effective date into the Local Effective Date Update field; and if available, the acreage into the Acreage Update field. If applicable, type the state legal action number into the Secondary Number Update field, the effective date of the state legal action into the Secondary Effective Date Update field.
- In the Cert. field, enter an "A" to inform the Census Bureau that an additional boundary change should be added to the Census Bureau's database.

If a boundary change was not accomplished in accordance with applicable state law, the SCO may either:

- Leave the Cert. field blank, which will indicate that the state government does not certify the change, but the SCO does not wish to reverse the change at this time, or
- In the Cert. field, enter an "R" to reverse the change. In the blank cell to the right of the Cert. field, please note the reason as well as any additional information about the reversal.

If a portion or all of the attribute data for the boundary change is incorrect:

- Type the correct data in the field to the right of the incorrect data. For example, if the information in the Action field is incorrect, type the correct information in the Action Update field to the right of the Action field. If the date in which the change is effective is incorrect, enter the correct date in the Local/Secondary Effective Date Update field. Blank update fields are also provided if the SCO needs to change the Authorization Type, Number, and Acreage information.

- In the Cert. field, enter an “E” to notify the Census Bureau that a portion or all the attributes for this record must be edited.

If a boundary update is a duplicate of an already existing boundary change:

- In the Cert. field, enter an “X.”

Upon completion of review of the List 2 data file, the SCO certifies the statement at the bottom of the file by typing their full name, title, and the date of concurrence below the provided statement.

CHAPTER 7. LIST 3: INCORPORATED PLACES

7.1 Data File Description

The List 3 data file (Figure 3) shows the names of all active and inactive incorporated places in the state according to the Census Bureau’s records. An active incorporated place is one that has officials (elected or appointed) and has the legal capacity to raise revenues and conduct general governmental activities. Table 4 provides an explanation of each of the fields in the data file.

Table 4: List 3 Data File Field Descriptions

Column	Field Name	Description
A	County Name	The county (or borough or census area in Alaska, parish in Louisiana) where each incorporated place is located.
B	Place Name and LSAD	Lists the places in alphabetical order within a county. If a place exists in multiple counties, it will be listed under each county in which it is located. The LSAD is the expanded legal/statistical area description, such as city, town, village, etc.
C	Part Flag	If the entity is located within multiple counties, this field will be populated by the letter “P” otherwise this field will be blank.
D	FS	Lists the functional status (FS) of the entity. (See Appendix B for definitions.)
E	FS Update	Will be initially blank so the SCO may provide edits to the information in the FS field without overwriting original data.
F	Cert.	Will be initially blank so the SCO may certify the records as correct and complete.
G	Memo	Will be initially blank so the SCO may include notes.

	A	B	C	D	E	F	G
	INCORPORATED PLACES						
1	NOTE: PLACE ALL EDITS IN THE BLANK COLUMN TO THE RIGHT OF THE COLUMN YOU WISH TO UPDATE.						
2							
3	County Name	Place Name and LSAD*	Part Flag	FS**	FS Update	Cert.	Memo
4							
5	Autauga County	Autaugaville town		Active			
6	Autauga County	Billingsley town		Active			
7	Autauga County	Millbrook city	P	Active			
8	Autauga County	Prattville city	P	Active			
9	Baldwin County	Bay Minette city		Active			
10	Baldwin County	Daphne city		Active			
11	Baldwin County	Elberta town		Active			

Figure 3. List 3

7.2 Instructions

Please review the List 3 data file (Figure 3) to ensure that it provides a complete and correct inventory of all incorporated places that were governmentally active or inactive.

If a place is located in multiple counties in the state's records, please review the file to ensure that it is listed under each applicable county. Places that occur in multiple counties in the MAF/TIGER database will have "P" entered in column C (Part Flag) of the data file.

For all records that are deemed to be correct and complete:

- In the Cert. field, type a "C" to indicate the record is certified.

If a place is missing from the data file:

- In a new row at the bottom of the data file, type the place's county name in the County Name field, the place's name and entity type in the Place Name and LSAD field, "active" or "inactive" in the FS field, and the effective date when the place legally incorporated in the Memo field.
- In the Cert. field, enter "A" which will inform the Census Bureau that this place should be added to the MAF/TIGER database.

NOTE: If the place exists in two or more counties, type all the county names, separated by commas, into the County Name field.

If a place is no longer incorporated:

- In the Memo field, provide the effective date of the status change.
- In the Cert. field, type an "R" to notify the Census Bureau that the place should be removed from the MAF/TIGER database.

If the functional status of a place has changed:

- In the FS Update field, enter the correct functional status.
- In the Memo field, enter the effective date of the status change.
- In the Cert. field, type an "E" to notify the Census Bureau that the functional status must be edited in the MAF/TIGER database.

Upon completion of review of the List 3 data file, the SCO certifies the statement at the bottom of the file by typing their full name, title, and the date of concurrence below the provided statement.

CHAPTER 8. LIST 4: MINOR CIVIL DIVISIONS

8.1 Data File Description

The List 4 data file (Figure 4) shows the names of all active and inactive minor civil divisions (MCDs) in the state according to the Census Bureau’s records. An active MCD operates as a governmental unit, having officials (elected or appointed), and having the legal capacity to raise revenues and conduct general governmental activities. States that do not have MCDs will not receive the List 4 data file. See Appendix A for a list of states that have MCDs.

The file does not include MCDs that the Census Bureau considers to be unorganized. Table 5 provides an explanation of the fields in the data file.

Table 5: List 4 Data File Field Descriptions

Column	Field Name	Description
A	County Name	The county where each entity is located.
B	MCD Name and LSAD	Lists MCDs in alphabetical order within the state. The LSAD is the expanded legal/statistical area description, such as town or township.
C	FS	Lists the functional status (FS) of the entity. (See Appendix B for definitions.)
D	FS Update	Will be initially blank so the SCO may provide an updated functional status without overwriting original data in the FS field.
E	Cert.	Will be initially blank so the SCO may certify the records as correct and complete.
F	Memo	Will be initially blank so the SCO may include any notes regarding the record.

	A	B	C	D	E	F
	MINOR CIVIL DIVISIONS					
1						
2	NOTE: PLACE ALL EDITS IN THE BLANK COLUMN TO THE RIGHT OF THE COLUMN YOU WISH TO					
3						
4	County Name	MCD Name and LSAD*	FS**	FS Update	Certified	Memo
5	Fairfield County	Bethel town				
6	Fairfield County	Bridgeport town				
7	Fairfield County	Brookfield town				

Figure 4. List 4

8.2 Instructions

Please review the List 4 data file (Figure 4) to ensure that it provides a complete and correct inventory of all MCDs that were governmentally active or inactive.

For all records that the SCO deems to be correct and complete:

- In the Cert. field, type a “C” to indicate the record is certified.

If an entity is missing from the data file:

- In a new row at the bottom of the data file, type MCD's county's name in the County Name field, the MCD's name followed by its legal area description (such as town or township) in the MCD Name and LSAD field, "active" or "inactive" in the FS Update field, and the effective date when the MCD organized in the Memo field.
- In the Cert. field, type an "A" which will inform the Census Bureau that this MCD should be added to the MAF/TIGER database.

If an MCD is no longer organized:

- In the Memo field, provide the effective date when the MCD ceased to exist.
- In the Cert. field, type an "R" to notify the Census Bureau that the MCD should be removed from the MAF/TIGER database.

If the functional status of an MCD has changed:

- In the FS Update field, enter the correct functional status.
- In the Memo field, enter the effective date of the status change.
- In the Cert. field, enter an "E" to notify the Census Bureau that the functional status must be edited in the MAF/TIGER database.

Upon completion of review of the List 4 data file, the SCO certifies the statement at the bottom of the file by typing their full name, title, and the date of concurrence below the provided statement.

CHAPTER 9. RETURNING UPDATES WITH THE SECURE WEB INCOMING MODULE (SWIM)

9.1 Submitting Digital Files via the SWIM

The SWIM is a one-stop location for submitting geographic program files to the Census Bureau. The Census Bureau now requires that all BAS State Certification participants use the Census Bureau's SWIM for submitting update materials. We cannot accept submissions sent by email due to the security policy at the Census Bureau.

If a participant does not already have a SWIM account, please email the Census Bureau at <geo.bas@census.gov> to request a SWIM registration token. Use "BAS State Certification – SWIM Token Request" as the subject of the email.

This token is good for one personal account within the SWIM. Once a participant registers for a SWIM account, a token is longer needed to login into the system. If participants require additional individual SWIM accounts within an organization, please contact the Census Bureau at 1-800-972-5651 or email <geo.bas@census.gov>.

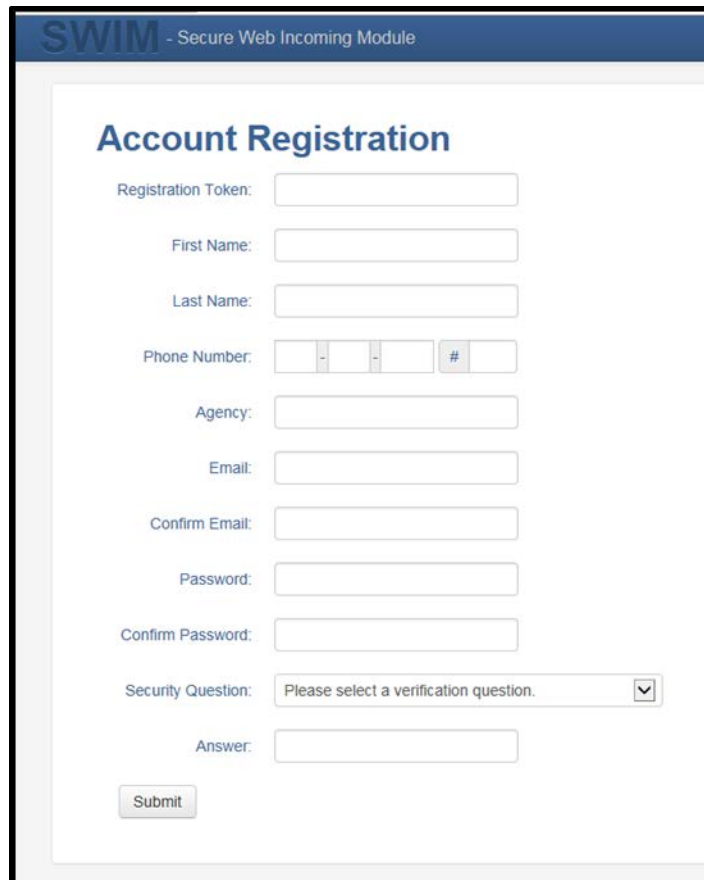
Users that participate in other Census Bureau geographic programs only need one SWIM account to submit files for all geographic programs.

At this time, the SWIM only accepts zip files. Please zip all update materials into one zip file for the entity's submission, and follow the instructions listed below:

In a web browser, go to <<https://respond.census.gov/swim/>>.

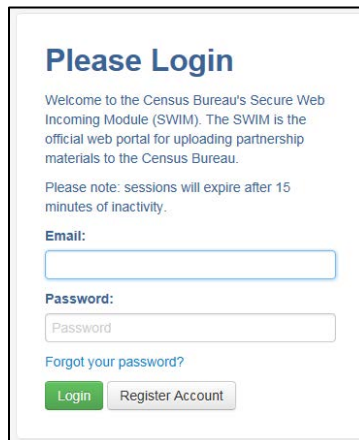
Login:

- a) New Users: Create a SWIM account. Select "Register Account" and complete the Account Registration form (Figure 5) using the provided SWIM token number.
- b) For users with a SWIM account, have the user name (email address) and password available and login into SWIM (Figure 6).



The image shows a web form titled "Account Registration" within a blue header bar that reads "SWIM - Secure Web Incoming Module". The form contains the following fields: "Registration Token" (text input), "First Name" (text input), "Last Name" (text input), "Phone Number" (text input with hyphen and hash separators), "Agency" (text input), "Email" (text input), "Confirm Email" (text input), "Password" (text input), "Confirm Password" (text input), "Security Question" (dropdown menu with the text "Please select a verification question."), and "Answer" (text input). A "Submit" button is located at the bottom left of the form area.

Figure 5. SWIM Account Registration



The image shows a login window titled "Please Login". It includes a welcome message: "Welcome to the Census Bureau's Secure Web Incoming Module (SWIM). The SWIM is the official web portal for uploading partnership materials to the Census Bureau." Below this is a note: "Please note: sessions will expire after 15 minutes of inactivity." The form contains "Email:" and "Password:" labels, each followed by a text input field. A link "Forgot your password?" is positioned below the password field. At the bottom, there are two buttons: a green "Login" button and a grey "Register Account" button.

Figure 6. SWIM Login Window

For previous SWIM users, the SWIM lists prior data uploads on the startup screen upon login. Click 'Start New Upload' to continue.

Welcome, Allison!

#	Created On	Status	file(s)
1	11/22/2016	In Progress. Continue?	

[Start New Upload](#)

Figure 7. SWIM Welcome Screen with Upload History

On the next screen, select the Boundary and Annexation Survey (BAS) option as Census program, and click 'Next' to continue.

What Census program are you reporting data for?

Select the geographic program that you currently wish to submit data for the Census Bureau to review. This selection affects only your current upload. You may select a different option for future uploads. If you are unsure what program to select send an email to geo.swim@census.gov for more guidance.

- Geographic Support System Initiative (GSS-I)
- Boundary Annexation Survey (BAS)
- School District Review Program (SDRP)
- Boundary Quality Assessment and Reconciliation Project (BQARP)
- Federal Agency Updates (FDU)
- Redistricting Data Program - BBSP-VTD (RDP)
- Redistricting Data Program - CD-SLD (RDP)
- Local Update of Census Addresses (LUCA)
- Participant Statistical Areas Program (PSAP)

[Next](#)

Figure 8. SWIM Geographic Partnership Program Selection Window

On this screen, select a geographic level. This is the geography type of the reporting agency. For BAS State Certification, select 'State.' Click 'Next' to continue.

What type of BAS are you reporting for?

Please select the entity-type you represent, not the extent or type of data that you are submitting. For example, if you are submitting data on behalf of a "County", but the data being submitted is at the "City" level, then select "County".

- State
- Place
- County
- Minor Civil Division (MCD)
- Tribal Area
- Concity

[Previous](#) [Next](#)

Figure 9. SWIM Geographic Level Selection Window

Use the drop-down selectors to find the name of the geographic entity. These options dynamically update based on the geography type selected from the previous screen. Click 'Next' to continue.

Select a State and County

State:
Alabama

County:
Chilton County

Previous Next

Figure 10. SWIM Geographic Entity Selection Window (State and County)

On the file upload screen, please click on the '+ Add file,' and a file browser dialog will appear.

Select a .ZIP file to upload.

File submissions must be in "zip format" Please group all related data together into one ZIP archive including any metadata or supporting documentation that you have available. Please include information about how your geographic data is projected if applicable. If you are submitting shapefiles, be sure to include all of the component files necessary to use the shapefile (at a minimum shp, prj, dbf, .shx) if you are submitting a .MXD file please be sure to include all of the separate data files that are used in the Map (all of the layers, shapefiles, etc.) Please provide any additional information, as applicable, in the comments box below.

Choose File: **+ Add File**

Status:

File(s):

Comments:

Previous Next

Figure 11. SWIM File Upload Screen

In the file browser dialog box, select the zip file for upload. Please be aware that the SWIM website only accepts zip files. Click 'Open' to continue.

Note: Participants are not able to upload a file larger than 250 MB. SWIM blocks participants from uploading a zip file that contains another zip file.

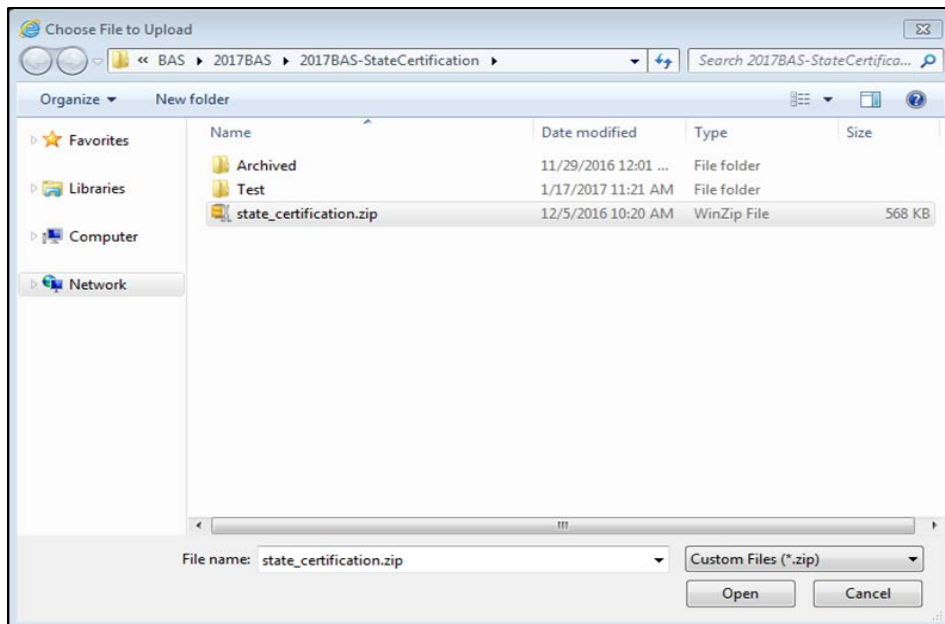
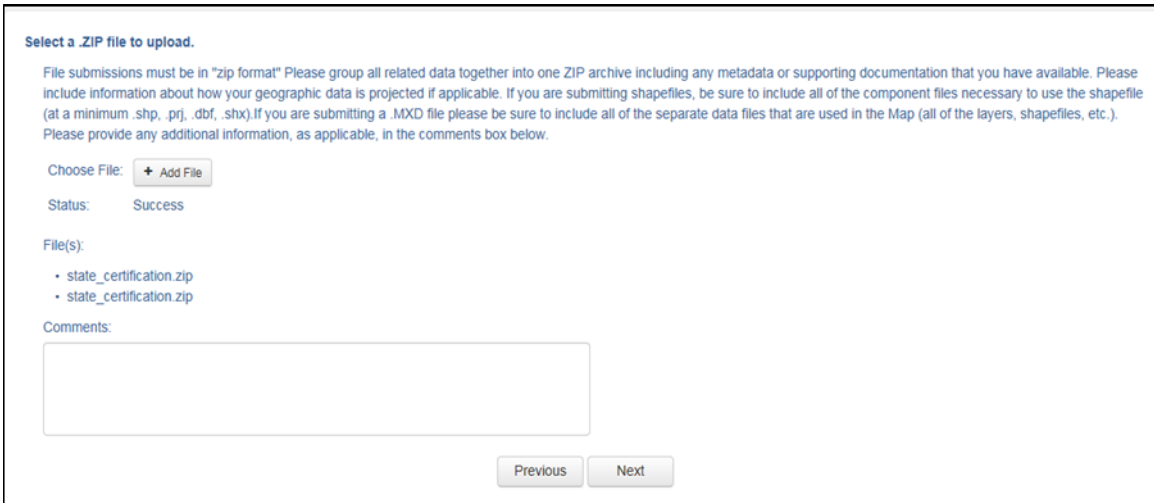


Figure 12. SWIM File Browser Dialog Box

At this time, enter any comments to include with the file. Click 'Next' to upload the submission.



Select a .ZIP file to upload.

File submissions must be in "zip format" Please group all related data together into one ZIP archive including any metadata or supporting documentation that you have available. Please include information about how your geographic data is projected if applicable. If you are submitting shapefiles, be sure to include all of the component files necessary to use the shapefile (at a minimum .shp, .prj, .dbf, .shx). If you are submitting a .MXD file please be sure to include all of the separate data files that are used in the Map (all of the layers, shapefiles, etc.). Please provide any additional information, as applicable, in the comments box below.

Choose File:

Status: Success

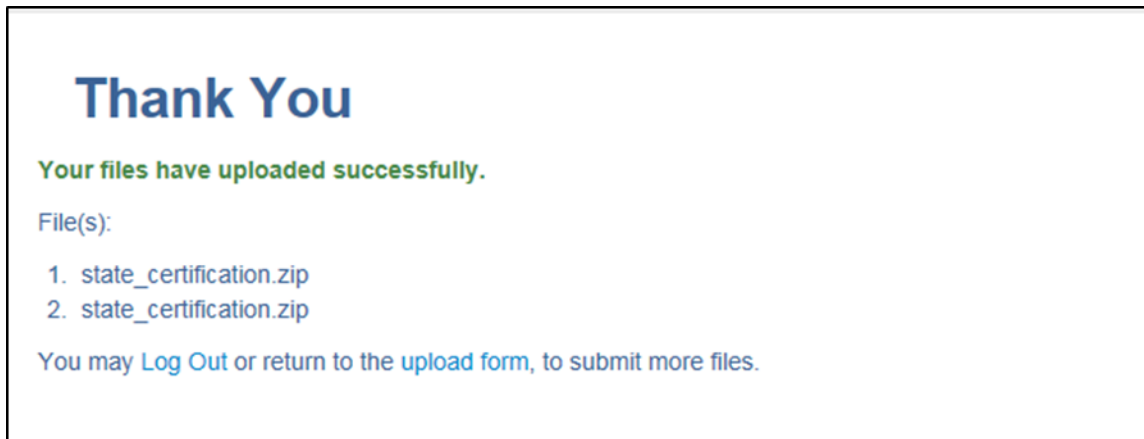
File(s):

- state_certification.zip
- state_certification.zip

Comments:

Figure 13. SWIM Entering Comments into the File Upload Window

The final screen will be a “Thank You” screen confirming receipt of the file submission. Contact the Census Bureau to report any issues with the SWIM.



Thank You

Your files have uploaded successfully.

File(s):

1. state_certification.zip
2. state_certification.zip

You may [Log Out](#) or return to the [upload form](#), to submit more files.

Figure 14. SWIM Thank You Screen

APPENDICES

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APPENDIX A. STATES WITH FUNCTIONING/NONFUNCTIONING MCDs

Table 6: States with Functioning/Nonfunctioning MCDs

States with Functioning MCDs	States with Nonfunctioning MCDs
Connecticut	Arkansas
Illinois	Iowa
Indiana	Louisiana
Kansas	Maryland
Maine	Mississippi
Massachusetts	North Carolina
Michigan	Tennessee
Minnesota	Virginia
Missouri	West Virginia
Nebraska	
New Hampshire	
New Jersey	
New York	
North Dakota	
Ohio	
Pennsylvania	
Rhode Island	
South Dakota	
Vermont	
Wisconsin	

APPENDIX B. DEFINITIONS

Active governmental unit – a functioning governmental unit that is exercising its legal capacity to have elected or appointed officials, raise revenues, and perform governmental activities (such as enactment of laws, provision of services, and entering into contracts).

Functional status – the administrative or legal activities associated with performing the legally prescribed functions of a governmental unit. If the administrative or legal entity is functioning, its functional status is either active or inactive.

Functioning governmental unit – a general-purpose government that has the legal capacity to elect or appoint officials, raise revenues, provide services, and enter into contracts. Functional governments may have an active or inactive functional status.

Governmental unit – a geographic entity established by legal action, and for the purpose of implementing administrative or governmental functions. Most governmental units have officially recognized boundaries. (Ex: incorporated places and MCDs).

Inactive governmental unit – a functioning governmental unit that is not currently exercising its legal capacity to have elected or appointed officials; thus, it is not raising revenue or providing services.

Incorporated place – a type of governmental unit, incorporated under state law as a city, town (except in New England, New York, and Wisconsin), borough (except in Alaska and New York), or village, having legally prescribed limits, powers, and functions.

Minor civil division (MCD) – a type of governmental unit that is the primary legal subdivision of a county for 29 states, created to govern or administer an area rather than a specific population. The several types of MCDs are identified by a variety of terms, such as town, township, and district, and include both functioning and nonfunctioning governmental units.

Nonfunctioning governmental unit – a legally defined governmental unit that does not have the legal capacity to have appointed or elected officials, raise revenues, or perform general purpose governmental activities such as enacting laws, entering into contracts, or providing services.

Unorganized territory (UT) – the statistical equivalent of an MCD encompassing contiguous area that is not within any functioning/nonfunctioning MCD or incorporated place.