

# Transaction Screen for Potential Environmental Concerns

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Maine Coast Heritage Trust ♦ Form September 2006  
Designed to meet ASTM Standard E1528

Allowing non-environmental professionals to gather information required for  
Transaction Screen to determine the need for a Phase One inspection  
under ASTM Standard E1527 and Final Regulations from EPA on "All Appropriate Inquiries"

No entity other than Maine Coast Heritage Trust may rely on this transaction screen

This form and the information in it is private and confidential

Project Name: \_\_\_\_\_ MCHT Interest: Conservation Fee Interest  
City: \_\_\_\_\_ County: \_\_\_\_\_ State: Maine

## TRANSACTION SCREEN INSTRUCTIONS Under ASTM – PRACTICE E-1528 - 06

### STEP 1: Site Data

Identify the location of the land, land ownership, and deed reference.

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

### STEP 2: Records Review (ASTM 1528 section 6, question 21)

Perform or order an ASTM 1528 records search through a commercial firm. Review results, including the examination of any orphan records.

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

### STEP 3: Historical Sources (ASTM 1528 10.1.1.12-10.2.5)

1. Review fire insurance maps (to be provided by commercial firm, if available); or
2. If not available, or if the fire insurance map yielded no information, consult local street directories, historic topographic maps, or historic aerial photos.

**Not required if none are available.**

Alternatively,

3. Interview a disinterested person who has first-hand knowledge of the property from the present back to 1940.

The purpose of this is to determine if any buildings or other improvements on the property or on an adjoining property are identified as having been used for an industrial use or uses likely to lead to contamination of the property. Historical use of the property from 1940 to present should be determined by using one or more of the above three sources.

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

### STEP 4: Aerial Photographs (Optional)

Examine aerial photographs of the property to look for old building sites, trash dumps, or other suspect activities.

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

**STEP 5: Interviews (ASTM 1528 5.4-5.7)**

Interview the current landowner or occupant about their knowledge of potential environmental concerns on the property and adjoining properties. Use the "Transaction Screen Owner/Occupant Questionnaire" to record the answers. You must ask all the questions in the questionnaire. If any of the questions are answered in the affirmative or "unknown", you must document the reason.

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

**STEP 6: Site Inspection (ASTM 1528 7.5-7.5.3)**

Walk the site, preferably with the landowner and other people knowledgeable about the property, looking for signs of current or past hazardous waste disposal. Use the "Transaction Screen—Site Visit Observations by Preparer" to record observations. Closely examine any questionable areas found from the records search, aerial photographs, fire insurance maps, or street directories.

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

**STEP 7: Property Description & Analysis, and Adjoining Properties Description & Analysis (ASTM 1528 8.1-8.42)**

Determine the current owners, current and past land uses, and dates of uses back to 1940 for the subject property as well as all contiguous or partially contiguous properties, including those that would be contiguous but for a street or road. Attach a USGS or town map with the property marked on it as well as a close-up sketch map. (ASTM 1528 3.2.3.)

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

**STEP 8: Deeds Search (Optional):**

If deemed necessary, research all deeds and titles for the property to establish whether the property was ever used for commercial or industrial purposes.

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

**STEP 9: General Conclusions (ASTM 1528 5.7-5.9)**

Prior to closing, review hazardous waste report with MCHT's counsel, for recommendation regarding the need for further inspections. Following closing, place originals in the fireproof safe project file and a copy in the completed projects file.

MCHT Counsel's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

## TRANSACTION SCREEN RESULTS

### Site Data

Project Name:

Street Address:

City: County: State: ME Zip:

Map: Lot:

Landowner Name:

Landowner Phone #

Current Landowner Deed(s) - Book/Page and Date:

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

### Records Review

Review results of records search, based on a report from a commercial firm. Attach full report.

Do any of the following federal, state, or tribal government record systems list the property or any property within the search distance from the property noted below (where available)?:

	Approx. minimum search distance from property	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal National Priorities List	1 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal National Priorities List delisted	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal CERCLIS list	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal CERCLIS NFRAP list	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal RCRA CORRACTS facilities list	1 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal RCRA non-CORRACTS TSD facilities list	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal RCRA generators list	.25 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal Brownfield	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal IC/EC	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal ERNS list	.12 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Tribal Lands	1 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
State/Tribal Sites	1 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
State Spills 90	.12 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
State/Tribal SWL	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
State/Tribal LUST	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
State/Tribal UST/AST	.25 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No

State/Tribal EC	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
State/Tribal IC	.25 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
State/Tribal VCP	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
State/Tribal Brownfields	.5 mile	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Orphan records:

Comments:

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

**Historical Sources**

1. Fire Insurance Maps to be provided by commercial firm, if available.  Unavailable  
 Fire Insurance Maps reviewed: \_\_\_\_\_ Map date: \_\_\_\_\_

2. Obtain one or more of the below:  
 a. Local Street Directories obtained  Unavailable  
 Local Street Directories reviewed: \_\_\_\_\_ Street Directory dates: \_\_\_\_\_  
 b. Historic Topographic maps: \_\_\_\_\_ Topo dates: \_\_\_\_\_  
 c. Aerial photos: Photo dates: \_\_\_\_\_

After reviewing the above sources, determine if any buildings or other improvements on the property or on an adjoining property are identified as having been used for an industrial use or uses likely to lead to contamination of the property.

Yes  No  Fire Insurance Maps, Street directories, historic topos and aerial photos unavailable, no further search required

**Alternatively,** interview a disinterested person with first-hand knowledge of the property back to 1940 (local official, neighbor, etc.)

Interviewed a disinterested person  
 Name of disinterested person interviewed: \_\_\_\_\_  
 Affiliation: \_\_\_\_\_ Date of interview: \_\_\_\_\_  
 Results: \_\_\_\_\_

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

**Aerial Photographs (optional)**

Photographers: \_\_\_\_\_ Affiliation: \_\_\_\_\_

Photograph Number:

Photograph Date:

Please explain any suspicious areas of the property as seen from aerial photographs:

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

### Interviews

Attach the "Transaction Screen Owner/Occupant Questionnaire" for each person interviewed.

Were any questions answered in the affirmative?  No  Yes

Were any questions unanswered, or answered "Unknown"?  No  Yes

If either of the above questions is answered "Yes", see sheet attached to "Transaction Screen Owner/Occupant Questionnaire"

Is further inquiry warranted?  No  Yes

Please explain:

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

### Site Inspection

Attach the "Transaction Screen—Site Visit Observations by Preparer" form

Were any questions answered in the affirmative?  No  Yes

Were any questions unanswered, or answered "Unknown"?  No  Yes

If either of the above questions is answered "Yes", see sheet attached to "Transaction Screen—Site Visit Observations by Preparer"

Is further inquiry warranted?  No  Yes

Please explain:

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

### Property Description and Analysis

Check all boxes that apply:

Property is  Vacant Land  Improved

Current Use of Property  Residential  Commercial  Industrial  Agricultural  Forestry

Other

Dates

- Past Uses of Property (to 1940)
- Vacant Land
  - Improved
  - Residential
  - Commercial
  - Industrial
  - Agricultural
  - Forestry
  - Other

Identify (on a sketch map) any roads adjoining or located on the property, bodies of water, wetlands, buildings, sites of former buildings, wells, septic systems, tanks, storage areas, dumps, evidence of demolition of buildings, and any areas of concern noted in this assessment.

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

**Adjoining Properties Description & Analysis**

Check all boxes that apply; add more blocks as needed for additional adjoining properties:

Adjoining Properties North

Map: \_\_\_\_\_ Lot: \_\_\_\_\_

Current Landowner Name: \_\_\_\_\_

- Property is  Vacant Land  Improved
- Current Use of Property  Residential  Commercial  Industrial  Agricultural  Forestry
- Wetland  Other

Dates

- Past Uses of Property (to 1940)
- Vacant Land
  - Improved
  - Residential
  - Commercial
  - Industrial
  - Agricultural
  - Forestry
  - Other

Adjoining Properties South

Map: \_\_\_\_\_ Lot: \_\_\_\_\_

Current Landowner Name:

Property is  Vacant Land  Improved

Current Use of Property  Residential  Commercial  Industrial  Agricultural  Forestry  
 Wetland  Other

Dates

Past Uses of Property  Vacant Land  
(to 1940)  Improved

Residential  
 Commercial  
 Industrial  
 Agricultural  
 Forestry  
 Other

#### Adjoining Properties East

Map: Lot:

Current Landowner Name:

Property is  Vacant Land  Improved

Current Use of Property  Residential  Commercial  Industrial  Agricultural  Forestry  
 Wetland  Other

Dates

Past Uses of Property  Vacant Land  
(to 1940)  Improved

Residential  
 Commercial  
 Industrial  
 Agricultural  
 Forestry  
 Other

#### Adjoining Properties West

Map: Lot:

Current Landowner Name:

Property is  Vacant Land  Improved

Current Use of Property

- Residential  Commercial  Industrial  Agricultural  Forestry  
 Wetland  Other

Dates

Past Uses of Property  
(to 1940)

- Vacant Land  
 Improved  
 Residential  
 Commercial  
 Industrial  
 Agricultural  
 Forestry  
 Other

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

#### Deeds Search (optional)

Was a search done of property deeds and titles?  No  Yes

Earliest deed found - Date: \_\_\_\_\_ Book: \_\_\_\_\_ Page: \_\_\_\_\_

Did any of the deeds indicate potential hazardous waste problems for the site? ?  No  Yes

Comments:

Preparer's Initials: \_\_\_\_\_ Date: \_\_\_\_\_

#### General Conclusions

Yes  No Are there any conditions present not mentioned above that need to be corrected to remove any potential risks?

Yes  No Activities of adjacent properties may pose potential environmental risks to the subject property.

Recommended actions prior to closing:

A PHASE ONE investigation is recommended.

A PHASE TWO investigation is recommended.

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**NO PROBLEMS OR EVIDENCE OF CONTAMINATION FOUND:**

I certify that to the best of my knowledge and belief the facts and data used in this inspection are true and accurate, and that no material facts have been suppressed or misstated, based on currently accepted and available information as of the inspection date; and, to the best of my knowledge, no contaminants are present on this real estate, and there are no obvious signs of any effects of contamination.

Signature \_\_\_\_\_ Print Name \_\_\_\_\_

Date \_\_\_\_\_ Title \_\_\_\_\_

**EVIDENCE OR SUSPICION OF CONTAMINATION:**

I certify that to the best of my knowledge and belief the facts and data used in this inspection are true and accurate, and that no material facts have been suppressed or misstated, based on currently accepted and available information as of the inspection date; and it is possible to reasonably conclude that there is a potential for contaminants, or the effects of contaminants, to be present on this real estate, and acquisition efforts may require further investigation, including a PHASE ONE inspection.

Signature \_\_\_\_\_ Print Name \_\_\_\_\_

Date \_\_\_\_\_ Title \_\_\_\_\_