



Dental Discharger One-Time Compliance Report

One-Time Compliance Report and Guidance under 40 CFR Part 441

This document has two parts:

- Part 1 — Guidance summarizing the federal Dental Effluent Guidelines at 40 CFR Part 441, which regulate the discharge of mercury-containing amalgam wastewater from dental facilities to Publicly Owned Treatment Works (POTWs).
- Part 2 — The One-Time Compliance Report (OTCR) required under 40 CFR 441.50, submitted by the dental discharger to KC Water.

Dental facilities that place or remove amalgam should read Part 1 in full before completing Part 2.

Who this applies to

Part 441 does not apply to dental facilities that exclusively practice oral pathology, oral and maxillofacial radiology, oral and maxillofacial surgery, orthodontics, periodontics, or prosthodontics; mobile dental units; or facilities that do not discharge amalgam process wastewater to a POTW. Other dental facilities are subject to the applicable requirements below. See 40 CFR 441.10(c)–(f).

A facility outside Part 441 may identify the basis in Section D for KC Water's screening records and skip Sections E–G. A facility that does not place amalgam and removes it only in limited emergency or unplanned circumstances must complete Sections A–D and H, including the limited-removal certification in Section D; Sections E–G do not apply to that path.



KC WATER

REGULATORY COMPLIANCE DIVISION

2 NE 32nd St • Kansas City, MO 64116

P: 816-513-0600 • www.KCWater.us

Part 1. Guidance — Federal Dental Effluent Guidelines

1.1 Overview of 40 CFR Part 441

40 CFR Part 441 establishes pretreatment standards for dental facilities discharging to POTWs to reduce mercury releases from amalgam. The rule was published June 14, 2017 and became effective July 14, 2017.

The rule applies to Dental Dischargers as defined in 40 CFR 441.20(c). Compliance deadlines depended on when the discharger commenced operation:

- Existing sources (discharging on or before July 14, 2017): compliance required by July 14, 2020; OTCR was due to the Control Authority by October 12, 2020.
- New sources (commenced discharge after July 14, 2017): compliance required at commencement of discharge; OTCR is due no later than 90 days after discharge begins or a transfer of ownership occurs.

1.2 Amalgam Separator Requirement — 40 CFR 441.30(a) and 441.40

Dental dischargers subject to the separator and BMP standards must operate and maintain a compliant amalgam separator or equivalent device. Separators must meet the following requirements:

1. The separator complies with ANSI/ADA Specification 108 for Amalgam Separators (2009) with Technical Addendum (2011) or with ISO 11143 (2008), as certified by an accredited testing organization; and
2. The separator provides removal efficiency of at least 95 percent of amalgam.

The separator must be inspected in accordance with the manufacturer's operating manual to ensure proper operation and maintenance of the unit, and to confirm that all amalgam retaining containers or units are replaced as required by the manufacturer.

If a separator or equivalent device malfunctions, repair it according to the manufacturer's instructions or replace it as soon as possible, no later than 10 business days after discovery. Qualifying separators installed before June 14, 2017 may continue under the existing-device provision until replacement or June 14, 2027, whichever comes first.

1.3 Two Required Best Management Practices — 40 CFR 441.30(b)

Dental dischargers subject to the separator and BMP standards must implement and continue the following practices:

- Waste amalgam — including but not limited to dental amalgam from chair-side traps, screens, vacuum pump filters, dental tools, cuspidors, or collection devices — shall not be discharged to a POTW.
- Do not clean amalgam wastewater lines, chair-side traps, or vacuum lines with oxidizing or acidic cleaners, including bleach, chlorine, iodine, or peroxide, that have a pH below 6 or above 8.



1.4 Reporting — 40 CFR 441.50

Every subject Dental Discharger must submit a One-Time Compliance Report (OTCR) to KC Water. The OTCR is Part 2 of this document.

Submit a Notice of Change at least 60 days before a planned ownership change. The new owner must also submit a new OTCR within 90 days after the transfer.

If the Dental Discharger removes all amalgam separators and no longer discharges amalgam process wastewater, a revised OTCR should be submitted noting the change.

1.5 Recordkeeping — 40 CFR 441.50(b)

The Dental Discharger must maintain, and make available for inspection in either physical or electronic form for a minimum of three years:

- Documentation of the date, person(s) conducting, and results of each amalgam separator inspection, along with any followup actions taken;
- Documentation of amalgam retaining container or equivalent container replacement (including the date, as applicable);
- Documentation of all dental amalgam waste disposal, including the date, amount, and hauler used;
- Documentation of any repair or replacement of an amalgam separator, including the date and person(s) making the repair or replacement.

Keep the OTCR available for inspection for as long as the dental discharger operates or until ownership transfers. Maintain the current manufacturer's operating manual for each separator or equivalent device on site in physical or electronic form.



Part 2. One-Time Compliance Report

A. Type of Report

- ☐ Initial OTCR — new Dental Discharger
- ☐ OTCR upon transfer of ownership
- ☐ Revised OTCR — facility no longer discharges amalgam process wastewater (no amalgam separator required)
- ☐ Revised OTCR — other reason (describe below)

If revised for another reason, describe:

B. Dental Facility Information

Dental facility name (as licensed):	
Facility physical address:	
Facility mailing address (if different):	
Facility phone:	
Facility email:	
Number of dental operatories:	
Number of chairs discharging amalgam process wastewater:	

C. Owner / Operator Information

Owner / operator name:	
Owner / operator mailing address:	
Owner / operator phone:	
Owner / operator email:	
Date of ownership (initial or transfer):	



D. Dental Practice Description

Describe the operation and all specialties practiced. Select the applicable path below. Exclusive specialty exclusions are limited to oral pathology, oral and maxillofacial radiology, oral and maxillofacial surgery, orthodontics, periodontics, or prosthodontics.

Description of dental practice and specialties:

-
- ☐ Places or removes amalgam beyond limited emergency or unplanned removal — complete Sections E–H.
 - ☐ Exclusively practices an excluded specialty listed above — identify the specialty and complete Section H for KC Water’s screening records; skip Sections E–G.
 - ☐ I certify that this facility does not place dental amalgam and does not remove amalgam except in limited emergency or unplanned circumstances, and will continue to meet this condition. Complete Sections A–D and H; skip Sections E–G.
 - ☐ Mobile dental unit, or no amalgam process wastewater discharged to a POTW — explain the basis above and complete Section H for screening; skip Sections E–G.

E. Amalgam Separator(s)

Complete for each amalgam separator installed. Attach additional pages if the facility has more than three separators.

Separator #1

Manufacturer:	
Model:	
Serial number:	
Rated removal efficiency (%):	
Certification (ANSI/ADA 108 or ISO 11143):	
Date installed:	
Rated flow capacity:	



Separator #2

Manufacturer:	
Model:	
Serial number:	
Rated removal efficiency (%):	
Certification (ANSI/ADA 108 or ISO 11143):	
Date installed:	
Rated flow capacity:	

Separator #3

Manufacturer:	
Model:	
Serial number:	
Rated removal efficiency (%):	
Certification (ANSI/ADA 108 or ISO 11143):	
Date installed:	
Rated flow capacity:	

Alternative device

- ☐ An equivalent amalgam removal device is used. Attach the performance demonstration and other documentation required by 40 CFR 441.30(a)(2), including at least 95 percent removal efficiency, maximum flow capacity, and operating instructions.
- ☐ I certify that the amalgam separator(s) or equivalent device is designed and will be operated and maintained to meet the applicable requirements of 40 CFR 441.30 or 441.40.

F. Inspection and Maintenance Program

Identify the third-party service provider, if used, or describe the facility's inspection and maintenance practices under the manufacturer's operating manual.

Inspection schedule (frequency):

Person(s) responsible for inspection:



Container replacement schedule:

Recordkeeping practices:

G. Best Management Practices — 40 CFR 441.30(b)

Certify that the facility is implementing the two required BMPs and will continue to do so.

- ☐ Waste amalgam (including chair-side traps, screens, vacuum pump filters, dental tools, cuspidors, and collection devices) is not discharged to the POTW. Waste amalgam is collected, stored, and disposed of by an appropriate waste management contractor. This practice will continue.
- ☐ Amalgam wastewater lines, chair-side traps, and vacuum lines are not cleaned with oxidizing or acidic cleaners, including bleach, chlorine, iodine, or peroxide, that have a pH below 6 or above 8. This practice will continue.

Amalgam waste disposal

Name of amalgam waste hauler or recycler:	
Address:	
Frequency of pickup:	



H. Certification

This report must be signed and certified by a responsible corporate officer, general partner or proprietor, or duly authorized representative meeting the applicable signatory requirements in 40 CFR Part 403.

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

Name (typed or printed):	
Title:	
Signature:	
Date:	

Submittal

How to submit

Submit through the KC Water reporting platform when available for your facility. Otherwise, mail the signed original and attachments to:

KC Water Regulatory Compliance Division
2 NE 32nd St
Kansas City, MO 64116

Email courtesy copies to water.ipp@kcmo.org to expedite review; email does not replace the signed submittal.

For a transfer of ownership, the new owner must submit an updated OTCR within 90 days of the transfer per 40 CFR 441.50(a).

Questions regarding dental discharger compliance under 40 CFR Part 441 should be directed to KC Water's Regulatory Compliance Division at water.ipp@kcmo.org or by phone at (816) 513-0600.