

**440.3**  
**SAMPLE**  
**ONE-TIME COMPLIANCE REPORT FOR DENTAL DISCHARGERS**  
**to Comply with 40 CFR 441.50**  
**Effluent Limitations Guidelines and Standards for the Dental Office Category**

**Instructions:**

The following is a sample form that contains the minimum information dental facilities must submit in a one-time compliance report as required by the Effluent Limitations Guidelines and Standards for the Dental Office Category (“Dental Amalgam Rule”). Some dental facilities are not required to submit a one-time compliance report. See [the applicability section \(§ 441.10\)](#) to determine if your facility is required to submit a one-time compliance report.

Note to dental facilities: Do not fill out and submit this form unless directed to do so by your Control Authority. Please contact your Control Authority to determine what form to use. Your Control Authority may be your wastewater utility, your state wastewater agency, or the U.S. EPA Regional Office. For assistance in determining your Control Authority, please see EPA’s website: [www.epa.gov/eg/dental-effluent-guidelines](http://www.epa.gov/eg/dental-effluent-guidelines).

**General Information**

<b>Name of Facility</b>			
<b>Physical Address of Dental Facility</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>			
<b>Mailing Address</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>			
<b>Facility Contact</b>			
<b>Phone:</b>		<b>Email:</b>	
<b>Names of Owner(s):</b>			
<b>Names of Operator(s) if different from Owner(s):</b>			

**Applicability: Please Select One of the Following**

<input type="checkbox"/>	This facility is a dental discharger subject to this rule ( <a href="#">40 CFR Part 441</a> ) and it places or removes dental amalgam. <i>Complete sections A, B, C, D, and E</i>
<input type="checkbox"/>	This facility is a dental discharger subject to this rule and (1) it does not place dental amalgam, and (2) it does not remove amalgam except in limited emergency or unplanned, unanticipated circumstances. <i>Complete section E only</i>

**(Also, select if applicable) Transfer of Ownership ([§ 441.50\(a\)\(4\)](#))**

This facility is a dental discharger subject to this rule ([40 CFR Part 441](#)), and it has previously submitted a one-time compliance report. This facility is submitting a new One Time Compliance Report because of a transfer of ownership as required by [§ 441.50\(a\)\(4\)](#).

**Section A**

**Description of Facility**

Total number of chairs:		5
Total number of chairs at which amalgam may be present in the resulting wastewater (i.e., chairs where amalgam may be placed or removed):		0
Description of any amalgam separator(s) or equivalent device(s) currently operated:		
YES <input type="checkbox"/>	NO <input type="checkbox"/>	The facility discharged amalgam process wastewater prior to July 14th, 2017 under any ownership.

**Section B**

**Description of Amalgam Separator or Equivalent Device**

<input checked="" type="checkbox"/>	The dental facility has installed one or more ISO 11143 (or ANSI/ADA 108-2009) compliant amalgam separators (or equivalent devices) that captures all amalgam containing waste at the following number of chairs at which amalgam placement or removal may occur:	Chairs:
<input type="checkbox"/>	The dental facility installed prior to June 14, 2017 one or more existing amalgam separators that do not meet the requirements of <a href="#">§ 441.30(a)(1)(i) and (ii)</a> at the following number of chairs at which amalgam placement or removal may occur:	Chairs:
I understand that such separators must be replaced with one or more amalgam separators (or equivalent devices) that meet the requirements of <a href="#">§ 441.30(a)(1)</a> or <a href="#">§ 441.30(a)(2)</a> , after their useful life has ended, and no later than June 14, 2027, whichever is sooner.		
	<b>Make</b>	<b>Model</b>
		<b>Year of installation</b>
<input checked="" type="checkbox"/>	My facility operates an equivalent device.	

Make	Model	Year of installation	Average removal efficiency of equivalent device, as determined per <a href="#">§ 441.30(a)(2)i-iii.</a>
Dove Dental Products	Capt-all HVE	2020	95.4%

**Section C**

**Design, Operation and Maintenance of Amalgam Separator/Equivalent Device**

<input checked="" type="checkbox"/>	YES	I certify that the amalgam separator (or equivalent device) is designed and will be operated and maintained to meet the requirements in <a href="#">§ 441.30</a> or <a href="#">§ 441.40</a> .
A third-party service provider is under contract with this facility to ensure proper operation and maintenance in accordance with <a href="#">§ 441.30</a> or <a href="#">§ 441.40</a> .		
<input type="checkbox"/>	YES	Name of third-party service provider (e.g. Company Name) that maintains the amalgam separator or equivalent device (if applicable):
<input type="checkbox"/>	NO	If none, provide a description of the practices employed by the facility to ensure proper operation and maintenance in accordance with <a href="#">§ 441.30</a> or <a href="#">§ 441.40</a> .
<i>Describe practices:</i>		

**Section D**

**Best Management Practices (BMP) Certifications**

<input checked="" type="checkbox"/>	<p>The above named dental discharger is implementing the following BMPs as specified in <a href="#">§ 441.30(b)</a> or <a href="#">§ 441.40</a> and will continue to do so.</p> <ul style="list-style-type: none"> <li>• Waste amalgam including, but not limited to, dental amalgam from chair-side traps, screens, vacuum pump filters, dental tools, cuspidors, or collection devices, must not be discharged to a publicly owned treatment works (e.g., municipal sewage system).</li> <li>• Dental unit water lines, chair-side traps, and vacuum lines that discharge amalgam process wastewater to a publicly owned treatment works (e.g., municipal sewage system) must not be cleaned with oxidizing or acidic cleaners, including but not limited to bleach, chlorine, iodine and peroxide that have a pH lower than 6 or greater than 8 (i.e. cleaners that may increase the dissolution of mercury).</li> </ul>
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**Section E  
Certification Statement**

<p>Per <a href="#">§ 441.50(a)(2)</a>, the One-Time Compliance Report must be signed and certified by a responsible corporate officer, a general partner or proprietor if the dental facility is a partnership or sole proprietorship, or a duly authorized representative in accordance with the requirements of <a href="#">§ 403.12(l)</a>.</p>			
<p><i>"I am a responsible corporate officer, a general partner or proprietor (if the facility is a partnership or sole proprietorship), or a duly authorized representative in accordance with the requirements of § 403.12(l) of the above named dental facility, and 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."</i></p>			
<p><b>Authorized Representative Name (print name):</b></p>			
<p><b>Phone:</b></p>		<p><b>Email:</b></p>	
<p><b>Authorized Representative Signature</b></p>		<p><b>Date</b></p>	

**Retention Period; per [§ 441.50\(a\)\(5\)](#)**

<p>As long as a Dental facility subject to this part is in operation, or until ownership is transferred, the Dental facility or an agent or representative of the dental facility must maintain this One Time Compliance Report and make it available for inspection in either physical or electronic form.</p>
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