2.0 Approval Process for Health Facilities

2.1 Introduction

2.1.1 Purpose

The purpose of the Approval Process for Health Facilities is to ensure all Health Facilities within the Emirate of Abu Dhabi are planned, designed and constructed to a minimum acceptable standard. It also aims to verify that the application is based on a reasonable Feasibility Plan for permissible health services and the applicant has the capacity to fund the project. This will maintain the public confidence in the quality of Health Facilities approved, inspected and licensed by HAAD.

2.1.2 References within Part A of the Guidelines

Where “underlined script” is used, the applicant should refer to the Appendices at the end of Part A.

Where “italic script” is used, the applicant should refer to the applicable section within Part A.

2.2 The Approval Process

2.2.1 The Approval Process - A Five Step Process Integrated within the General Building Approval Process

The Approval Process consists of the following 5 steps, as illustrated on page 11 & 12:

- STEP 1 - Registration of the Health Facility and Permissible Service Lines
- STEP 2 - Schematic Design Submission
- STEP 3 - Detailed Design Submission
- STEP 4 - 90% Completion Inspection
- STEP 5 - 100% Completion Inspection

2.2.2 New Health Facilities and Existing Health Facilities Undergoing Changes

The Approval Process applies to Health Facilities yet to be developed and existing Health Facilities undergoing changes. Although already registered and licensed, when existing Health Facilities make changes to their infrastructure and/or scope of service, HAAD will assess whether there could be any adverse impacts on the quality and safety of patient care. Types of changes could be:

- Changing the scope of the facility’s service – reductions or expansions of scope, changing the type of service provided;
- Changing the infrastructure of the facility – reductions or expansions in area, refurbishing existing area or
- Any combination of the above.

Owners/Operators are therefore required to register any changes in the scope of service and/or changes to the existing Health Facility’s infrastructure. HAAD will assess on a case by case basis, which steps of the Approval Process will apply to existing projects lodged for registration.

2.2.3 Design Changes during Approval Process

HAAD understands that design or other changes may need to be implemented mid-way through the approval process. If it is necessary for the design or mix of services to be changed, HAAD recommends that any such change be documented and re-lodged for
registration. The unchanged part (if any) may proceed through the approval process as described above while the changed part will be considered the same way as changes to an existing facility. HAAD will assess such issues on a case by case basis and advise which steps of the Approval Process will apply to the changes re-lodged for registration.

2.2.4 The Approval Process and its Integration in the General Building Approval Process

The Health Facility Approval Process is integrated in the General Building Approval Process for the Emirate of Abu Dhabi. The exact timing of the different submissions to HAAD should be adhered to and pre-requisites for the submissions are therefore in place.

The General Building Approval Process is governed by the Urban Planning Council and by the Department of Municipal Affairs, through its three Municipalities: Abu Dhabi, Al Ain and Western Regions. However, many other authorities and utility providers will be involved in the approval of Health Facilities.

Although the sequence of the different steps within the General Building Approval Process ensures all design aspects are studied and coordinated, because of the complexities that come with healthcare design, it is recommended to have preliminary meetings with other authorities and utility providers, ensuring concerns about site access, traffic management, car parking, public transport, waste disposal, Estidama, etc. and the provisions of utilities are discussed at an early stage. This can significantly reduce abortive work.

HAAD specifically draws the attention to the requirement to comply with Estidama. All public buildings within Abu Dhabi will need to comply and achieve a “Pearl 2” rating. The compliance is governed both by the Urban Planning Council and by the respective Municipalities.

Refer to page 12 for the General Building Approval Process diagram for the Emirate of Abu Dhabi and how the Approval Process for Health Facilities is integrated and sequenced within.

2.3 STEP 1 – Registration of the Facility and Permissible Service Lines

2.3.1 Purpose

All Health Facilities in Abu Dhabi are required to be licensed. The registration is the first step to obtain a license and describes the type and size of the facility, the type(s) of health services provided, an approximate construction cost, etc.

2.3.2 Process

- The Owner/Operator is to register the Health Facility by lodging the Health Facility Licensing Application Form (refer to www.haad.ae – Health Registration & Licensing – Application Form NFA). The Registration Form is then to be printed, signed by the Owner/Operator and a hard copy lodged by hand to the HAAD office.
- HAAD will examine the Registration form and either accept or reject it. If the Registration form is accepted, HAAD will write to the applicant and advise that the intention to lodge an application has been registered. If the information in the Registration form is incomplete or unacceptable, HAAD will advise the applicant accordingly. At its sole discretion, HAAD may invite the applicant for a discussion on the reasons for the rejection of the Registration.
- A successful Registration remains valid for twelve (12) months, during which the General Building Approval Process can be continued and during which Step 2 of the Approval Process for Health Facilities is to be initiated.
- If required, the validity of the Registration can be extended for a further twelve (12) months, by special application prior to the expiry of the twelve (12) months period,
allowing the Owner/Operator to finalise the design.
- If not accepted, the Registration needs to be re-lodged within twelve (12) months.
- The Registration of an application does not in any way imply an approval of the facilities or services being proposed. The Registration acceptance only implies that an application is expected and may be lodged within the specified period.
- HAAD, at its sole discretion, may from time to time make the subject of Registration applications public, in order to inform other potential applicants of the interest in the marketplace for the development of such facilities and provision of certain services.

2.3.3 Considerations
- Should the Owner/Operator let the Registration Approval expire, the registration process is to be re-initiated.
- Only two (2) registration attempts will be permitted per project.
- Applicants are advised to visit the HAAD website at www.haad.ae/statistics and www.haad.ae/statistics-xl and verify the status of health services being proposed. HAAD categorises health services at ‘Service Line’ and ‘DRG’ (Diagnosis Related Group) levels into Centralised, Regional and Standard groups as follows:
  - Centralised services are restricted to a few (generally Public) facilities.
  - Regional services are restricted to population catchments of equal or greater than 260,000.
  - Standard services can be provided by any licensed facility and operator.
- From time to time, such Central and Regional services may be advertised by HAAD, inviting applicants to provide them.
- Applications for Registration which include restricted services may be refused by HAAD.
- Any acceptance of an application with restricted services does not imply acceptance of those restricted services. It only implies that the Health Authority is prepared to receive an application on that basis and consider it for approval or rejection.
- Applicants will be required to re-state the intended Service Lines and DRG’s again at Steps 2 and 3 of the Licensing Process. At each Step in the process the applicant must check the status of Central, Regional and Standard services as these may change without prior notification.

2.3.4 Deliverables
- Health Facility Licensing Application to be obtained online.
- Signed copy of the Health Facility Licensing Application Form to be lodged at the HAAD office.
- The short form of Feasibility Study and Costing described under Part F: ‘Section 4.1 Self-Check for minimal information required for Part A Step 1’ This includes:
  - Executive Summary (including a Capital Cost Statement)
  - Proposed Services and Facilities
  - Signed copy of the Appendix 15 – Pro-forma for the proposed Service Lines and DRG’s completed to show that the intended services are in line with the HAAD policy on Regional, Centralised and Standard services.
  - Statement of Funding capacity

2.4 STEP 2 – Schematic Submission

2.4.1 Purpose

To allow HAAD to identify major design anomalies or errors prior to detailed development of the Health Facility, a first submission of the documentation is expected at Schematic Design level. An approval will also be a pre-requisite for an approval by the Urban Planning Council.
2.4.2 Process

- The Owner/Operator is to register the submission by lodging the Schematic Submission Registration Form (appendix 01) online. The Registration Form is then to be printed, signed by the Owner/Operator and a hard copy lodged with the submission. HAAD will advise by return email when the submission can be lodged at HAAD.
- The Owner/Operator is to prepare an Architectural Submission only - all the required documents in compliance with the deliverables as described on the Deliverables for Schematic Submission (appendix 06). The documents are then lodged in both hard copy and soft copy, at the HAAD office.
- The submission is checked for completeness by the receiving HAAD official. Incomplete or non-complying submissions will be rejected.
- HAAD then will review the submission against these Guidelines.
- If approved, the “Approval in Principle – Schematic” (AIP-S, appendix 02) will be granted together with an Assessment Report (appendix 14) listing all non compliances to be rectified. The AIP-S remains valid for twelve (12) months, during which the General Building Approval Process can be continued and during which Step 3 of the Approval Process for Health Facilities is to be initiated.
- If required, the validity of the AIP-S can be extended for a further twelve (12) months, by special application prior to expiry of the twelve (12) months period, allowing the Owner/Operator to finalise the design.
- If not approved, the Schematic Submission is to be re-lodged within three (3) months.

2.4.3 Considerations

- Should the Owner/Operator let the AIP-S expire, the Schematic Submission process is to be re-initiated.
- Only two (2) Schematic Submissions will be permitted for the same project or the Registration will be revoked.
- For Standards and Guidelines to adhere to, refer to Standards and Guidelines on pages 13 and 14.
- The Owner/Operator should again check the permissible services on the HAAD website at www.haad.ae/statistics and www.haad.ae/statistics-xl. Restricted services under the Centralised services category may be refused. Regional services which are already well supplied for population catchments of around 250,000 may also be refused. If in doubt, applicants may contact HAAD for information on restricted services.

2.4.4 Deliverables

- Applications must include drawings and other documents to represent the proposed design. These documents must be in compliance with the Deliverables for Schematic Submission to simplify and speed up the process of evaluation.
- Incomplete submissions or submissions that do not follow the prescribed format may be rejected.
- Deliver:
  - Schematic Submission Registration Form (appendix 01) to be lodged online
  - Signed copy of the Schematic Submission Registration Form (appendix 01)
  - Signed copy of the Deliverables for Schematic Submission (appendix 06)
  - Architectural Schematic Design drawings and reports as indicated on the Deliverables for Schematic Submission
  - Signed copy of the Feasibility Study and Feasibility Checklist as per the requirements of Part F and its appendices
  - Signed copy of the Pro-forma for Service Lines and DRG’s (Appendix 15) completed to show that the intended services are in line with the HAAD policy on Regional and Centralised services. This requirement confirms the services proposed in previous submission (Steps 1). Alternatively it may indicate a refinement of the proposed services based on the development of the design or changed market conditions. Any revisions to
the previously proposed Service Lines and DRG’s needs to comply with the latest HAAD policy on the Regional and Centralised services.

### 2.5  **STEP 3 – Detailed Submission**

#### 2.5.1  **Purpose**

To allow HAAD to identify detailed design anomalies or errors prior to construction of the Health Facility, a second submission of the documentation is expected at Detailed Design level. An approval will also be a pre-requisite for an approval by the governing Municipality (Abu Dhabi, Al Ain or Western Regions).

#### 2.5.2  **Process**

- The Owner/Operator is to register the submission by lodging the [Detailed Submission Registration Form](#) online. The Registration Form is then to be printed, signed by the Owner/Operator and a hard copy lodged with the submission. HAAD will advise by return email when the submission can be lodged at HAAD.
- The Owner/Operator is to prepare a submission both containing Architectural and MEP Engineering documentation - all the required documents in compliance with the deliverables as described on the [Deliverables for Detailed Submission](#) (appendix 07). The documents are then lodged in both hard copy and soft copy, at the HAAD office, together with the signed registration form.
- The submission is checked for completeness by the receiving official. Incomplete or non-complying submissions will be rejected.
- HAAD then will review the submission against the [Standards and Guidelines](#) and against the [Assessment Report](#) of the Schematic Design submission. If approved, the “Approval in Principle – Detailed” (AIP-D, appendix 04) will be granted together with an Assessment Report listing all non compliances to be rectified. The AIP-D remains valid for twelve (12) months, during which the General Building Approval Process can be continued and during which Step 4 needs to be initiated.
- If required, the validity of the AIP-D can be extended for a further twelve (12) months or longer (to be agreed with HAAD and depending on the size of the project), by special application prior to the expiry of the twelve (12) months period, allowing the Owner/Operator to reach the 90% completion level.
- If not approved, and the number and severity of non compliances are considered acceptable (at the sole discretion of HAAD), an Assessment Report listing all non compliances to be rectified is issued to the applicant with the request to:
  - Re-lodge only those portions of the submission that require redesign, within 3 months.
  - Provide answers/solutions to all outstanding non compliances in the Assessment Report.
- If this re-lodgement is approved, the AIP-D will be granted together with a revised Assessment Report listing all non compliances to be rectified. The process then continues as described above.
- If the re-lodgement is still not approved, an Assessment Report listing all non compliances to be rectified is issued to the applicant with the request to reinitiate Step 3 within 6 months. Only three (3) Detailed Submissions will be allowed for the same project or the Registration will be revoked.

#### 2.5.3  **Considerations**

- Should the Owner/Operator let the AIP-D expire, the detailed submission process is to be re-initiated.
- Only three (3) Schematic Submissions will be permitted for the same project or the Registration will be revoked.
- For standards and guidelines to adhere to, refer to [Standards and Guidelines](#) on page 13, 14.
The Owner/Operator should again check the permissible services on the HAAD website at www.haad.ae/statistics and www.haad.ae/statistics-xl. Restricted services under the Centralised services category may be refused. Regional services which are already well supplied for population catchments of around 250,000 may also be refused. If in doubt, applicants may contact HAAD for information on restricted services.

2.5.4 Deliverables

- Applications must include drawings and other documents to represent the proposed design. These documents must be in compliance with the Deliverables for Detailed Submission (appendix 07) to simplify and speed up the process of evaluation.
- Incomplete submissions or submissions that do not follow the prescribed format may be rejected.
- Deliver:
  - Detailed Submission Registration Form (appendix 03) to be lodged online
  - Signed copy of the Detailed Submission Registration Form (appendix 03)
  - Signed copy of the Deliverables for Detailed Submission (appendix 07)
  - Detailed Design drawings and reports as indicated on the Deliverables for Detailed Submission
  - Signed copy of the updated Feasibility Study and Feasibility Checklist as per the requirements of Part F and its appendices
- Signed copy of the Pro-forma for Service Lines and DRG’s (Appendix 15) completed to show that the intended services are in line with the HAAD policy on Regional and Centralised services. This requirement confirms the services proposed in previous submissions (Steps 1 and 2). Alternatively it may indicate a refinement of the proposed services based on the development of the design or changed market conditions. Any revisions to the previously proposed Service Lines and DRG’s needs to comply with the latest HAAD policy on Regional and Centralised services.

2.5.5 Design Changes Requested by the Municipality or Other Authorities giving Approval after the Approval in Principle – Detailed (AIP-D) was issued.

It is the Owner/Operator’s obligation and responsibility to notify HAAD of any changes requested by the Municipality and other authorities after issue of AIP-D. The Owner/Operator should be aware that significant changes requested by the Municipality or other authorities not reported to HAAD will risk future penalties such as denial of ‘License to Operate’ certificate post completion.

2.6 STEP 4 – 90% Completion Inspection

2.6.1 Purpose

- To allow HAAD to identify construction anomalies or errors and to verify outstanding non compliances from Step 3 are implemented, a 90% Completion Inspection is expected during construction.

2.6.2 Process

- The Owner/Operator is to request the inspection by lodging the Request for Inspection Form (appendix 05) online, at least four (4) weeks prior to the inspection. The registration form is then to be printed, signed by the Owner/Operator and a hard copy lodged with the submission. HAAD will advise by return email when the submission can be lodged at the HAAD office.
- The Owner/Operator is to prepare an Architectural and an MEP Engineering Progress Report, listing all outstanding non compliances from Step 3 and their answers–solutions–status–progress on site – using the format of the Assessment Report (appendix 12). The
Report is then lodged in both hard copy and soft copy, at the HAAD office, together with the signed Request for Inspection Form (appendix 05).

- HAAD then will review the Progress Reports and advise when the inspection will take place.
- HAAD then will inspect the facility and note comments on the Report.
- The Report is returned to the Owner/Operator requiring modifications where required.

2.6.3 **Deliverables**

- Request for Inspection Form (appendix 05) to be lodged online.
- Signed copy of the Request for Inspection Form (appendix 05) to be lodged to the HAAD office, together with the Progress Report.

2.7 **STEP 5 – 100% Completion Inspection**

2.7.1 **Purpose**

To allow HAAD to identify construction anomalies or errors and to verify outstanding non compliances from Steps 3 and 4 are implemented, a 100% Completion Inspection is expected at the end of construction and prior to any occupation.

2.7.2 **Process**

- The Owner/Operator is to request the inspection by lodging the Request for Inspection Form (appendix 05) online, at least four (4) weeks prior to the inspection. The registration form is then to be printed, signed by the Owner/Operator and a hard copy lodged with the submission. HAAD will advise by return email when the submission can be lodged at the HAAD office.
- The Owner/Operator is to prepare an Architectural and an MEP Engineering Progress Report, listing all outstanding non compliances from Steps 3 and 4 and their answers and solutions – using the format of the Assessment Report (appendix 12). The Report is then lodged in both hard copy and soft copy, at the HAAD office, together with the signed Request for Inspection Form (appendix 05).
- HAAD then will review the Progress Report and advise when the inspection will take place.
- HAAD then will inspect the facility and note comments (if any) on the Report.
- The Report is returned to the Owner/Operator requesting modifications where required.
- Further inspections may be imposed by HAAD, as required, until all issues are resolved to the satisfaction of HAAD.

2.7.3 **Deliverables**

- Request for Inspection Form (appendix 05) to be lodged online.
- Signed copy of the Request for Inspection Form (appendix 05) to be lodged to the HAAD office, together with the signed Progress Report.
HAAD Approval Process Diagram:

**HAAD APPROVAL PROCESS**

**STEP 1: REGISTRATION**
- Net Approval: Resubmit within 12 months
  - In case of expiry: 1 resubmission is allowed

**STEP 2: SCHEMATIC SUBMISSION**
- Net Approval: Resubmit within 3 months
  - In case of expiry: 1 resubmission is allowed

**STEP 3: DETAILED SUBMISSION**
- Net Approval: Resubmit within 6 months
  - In case of expiry: 1 resubmission is allowed

**STEP 4: 90% COMPLETION INSPECTION**
- Return for modifications where required
- Submit 90% MEP Report
- Return for modifications where required

**STEP 5: 100% COMPLETION INSPECTION**
- Submit 100% MEP Report
- Return for modifications where required

**STEP 6: SUBMISSION**
- Approvals: 1 attempt
- Revisions: Max 2 attempts
- Final Submission: Valid 12 months

**Additonal Comments**
- Approval: Approvals for another 12 months can be requested prior to expiry
- Submission: - AIP-1: No attempt when to submit - Incomplete Submission will be rejected
- AIP-Q: If rejection for another 12 months can be requested prior to expiry - Concept Building Approval Process can be continued
- Submission: - AIP-Q: No attempt when to submit - Incomplete Submission will be rejected
- AIP-D: If rejection for another 12 months can be requested prior to expiry - Concept Building Approval Process can be continued

*Max submission attempts include all resubmissions because of “Not Approved”, “Not Approved But Acceptable” or “Approval Expired”
Master Flow Chart:

DISCLAIMER: THIS DIAGRAM DOES NOT PROVIDE A COMPLETE OVERVIEW OF ALL APPROVAL PROCESSES, ALL AUTHORITIES AND SERVICE PROVIDERS. IT IS STRONGLY ADVISED TO CONTACT ALL PARTIES INVOLVED IN THE ABU DHABI BUILDING APPROVAL PROCESS, IN ORDER TO OBTAIN MORE DETAILED INFORMATION.
2.8 Standards and Guidelines

For the purpose of compliance with the HAAD requirements only, all Health Facilities in the Emirate of Abu Dhabi are to be designed to the Standards and Guidelines as set out in the tables below. Projects lodged with HAAD for review will therefore be tested for compliance against these Standards and Guidelines only.

Where various Standards and Guidelines provide information, the following rules apply:

- The Standards and Guidelines as set out in the tables below are minimum requirements for compliance with HAAD’s design criteria only. Where other authorities request compliance with other Standards and Guidelines, the most onerous Standards and Guidelines should be adhered to.
- Where the HAAD Health Facility Guidelines Part B to E provide design information that is covered under the Americans with Disabilities Act 1994 (ADA 1994), the design information provided under the HAAD Health Facility Guidelines Part B to E shall prevail.

### Standards and Guidelines applying to the Architectural Discipline

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<tr>
<td>1</td>
<td>HAAD Health Facility Guidelines - Part B to D</td>
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<tr>
<td>2</td>
<td>Americans with Disabilities Act 1994 (relevant sections)</td>
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In situations where compliance with the Standards and Guidelines has not been achieved or is impractical, the non-compliance is to be highlighted to HAAD. Reasons for such non-compliance and an alternative solution are to be put forward for consideration. HAAD (at its sole discretion), may accept alternative solutions or compliance with other internationally recognised Standards and Guidelines offered by the applicant.

### Standards and Guidelines applying to the MEP Engineering Discipline

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<tr>
<td>1</td>
<td>HAAD Health Facility Guidelines – Part E</td>
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<tr>
<td>2</td>
<td>ASHRAE (American Society of Heating, refrigerating and Air-conditioning Engineers) - Inc. HVAC Design Handbook</td>
</tr>
<tr>
<td>3</td>
<td>SMACNA (Sheet Metal and Air Conditioning Contractors’ National Association) - Design Handbook</td>
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<tr>
<td>4</td>
<td>DW 144 - Specification for Sheet Metal Ductwork</td>
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<tr>
<td>5</td>
<td>DW 171 - Standard for Kitchen Ventilation Systems</td>
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<tr>
<td>6</td>
<td>ARI (Air-Conditioning and Refrigeration Institute)</td>
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<tr>
<td>7</td>
<td>CIBSE (Chartered Institution of Building Services Engineers)</td>
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<tr>
<td>8</td>
<td>IOP (Institute of Plumbing) - Plumbing Engineering Services Design Guide</td>
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<tr>
<td>9</td>
<td>ASPE (American Society of Plumbing Engineers) Design handbook</td>
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<td>Standards and Guidelines applying to the MEP Engineering Discipline - continued</td>
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<td><strong>10</strong></td>
<td>IPC (International Plumbing Code)</td>
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<tr>
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<td>AWWA (American Water Works Association)</td>
</tr>
<tr>
<td><strong>12</strong></td>
<td>ASTM (American Society for Testing and Materials)</td>
</tr>
<tr>
<td><strong>13</strong></td>
<td>NFPA (National Fire Protection Association)</td>
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<tr>
<td><strong>14</strong></td>
<td>UL (Underwriters’ Laboratories, Inc.)</td>
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<tr>
<td><strong>15</strong></td>
<td>HTM 02 (Health Technical Memorandum 02) Medical Gas Design Guide – Part 1 and 2</td>
</tr>
<tr>
<td><strong>16</strong></td>
<td>RSB (Regulation and Supervision Bureau)</td>
</tr>
<tr>
<td><strong>17</strong></td>
<td>UPC-AD (Uniform Plumbing Code of Abu Dhabi Emirate)</td>
</tr>
<tr>
<td><strong>18</strong></td>
<td>ADCD Fire Code and Latest Circulars and Memorandums</td>
</tr>
<tr>
<td><strong>19</strong></td>
<td>ADWEA (Abu Dhabi Water and Electricity Authority) Guidelines</td>
</tr>
<tr>
<td><strong>20</strong></td>
<td>ADSSC (Abu Dhabi Sewerage Services Company) Guidelines</td>
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<td><strong>21</strong></td>
<td>Wiring Regulations for Electrical Installations (IEE 17th Edition), published by the Institution of Engineering and Technology (BS 7671)</td>
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<td><strong>23</strong></td>
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<td><strong>24</strong></td>
<td>BS 5266 and NFPA 70 - Emergency Lighting</td>
</tr>
<tr>
<td><strong>25</strong></td>
<td>BS 5839(p8)- Voice Alarm System in Buildings</td>
</tr>
<tr>
<td><strong>26</strong></td>
<td>BSEN 60849 - Sound Systems For emergency purposes</td>
</tr>
<tr>
<td><strong>27</strong></td>
<td>BS EN62305:2006 - Protection of structures Against Lightning</td>
</tr>
<tr>
<td><strong>28</strong></td>
<td>BS 7430 and BS7671 – Earthing</td>
</tr>
<tr>
<td><strong>29</strong></td>
<td>NFPA 72 – National fire alarm code</td>
</tr>
<tr>
<td><strong>30</strong></td>
<td>NFPA 101 – Life safety code</td>
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In situations where compliance with the Standards and Guidelines has not been achieved or is impractical, the non-compliance is to be highlighted to HAAD. Reasons for such non-compliance and an alternative solution are to be put forward for consideration. HAAD (at its sole discretion), may accept alternative solutions or compliance with other internationally recognised Standards and Guidelines offered by the applicant.