THE RAILWAYS ACT
[ NO. 4 OF 2002]

REGULATIONS
Made under section 28

THE RAILWAYS (BLOCK WORKING AND SIGNAL INTERLOCKING) REGULATIONS, 2009
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PART I: PRELIMINARY PROVISIONS

Citation

1. These Regulations may be cited as the Railways (Block Working and Signal Interlocking) Regulations 2009.

Commencement

2. The Regulations come into force on the date of their publication in the Gazette

Interpretation

3. In these Regulations unless the context otherwise requires:

   (1) **Absolute block** means a system of controlling trains whereby the track is considered to consist of a series of sections, such that when one train is occupying a section of track (the block section), no other train is allowed to enter that section;

   (2) **Approach locking** means electric locking effective when a train is approaching within a specified distance while a signal displays an aspect to proceed, the objective being to prevent the electrically controlled movement of any interlocked or electrically locked switch, movable point frog, or derail in the route governed by the signal until after the expiration of a predetermined time interval after such signal has been caused to display its most restrictive aspect;

   (3) **Aspect of Signal** means the appearance of a colour light or semaphore signal that the driver sees;

   (4) **Automatic block system** is a traffic control system in which installed track circuits detect the presence of trains and alter signal aspects to reflect track occupancy, hence the signals are operated by the passage of trains without the need for coordination of operators at adjacent stations;

   (5) **Block Section or Section** means the stretch of rail line from the starting signal at one signal box to the home signal at the next signal box;

   (6) **Closed Circuit Principle** is the principle of circuit design where a normally energized electric circuit will, on being interrupted or de-energized, cause the controlled function to assume its most restrictive condition;

   (7) **Fail safe** is a term used to designate a railway signalling design principle, the objective of which is to eliminate the hazardous effects of a failure of a component or system;

   (8) **Indication of Signals** means the interpretation of the aspect of the signal;

   (9) **Interlocking** is a general term applied to equipment that controls setting and releasing of signals and points to prevent an
unsafe condition of the signalling system arising during the passage of trains;

(10) Main Line has the same meaning as Running Line;

(11) Manual block system is a traffic control system in which coordination between operators at adjacent stations is required in order to establish a desired traffic direction and clear wayside signals for a train movement from one station to another station and has a separate communication channel coupling each pair of adjacent stations;

(12) Moving block system is a traffic control system in which a train's position and speed are communicated to control equipment which then computes the appropriate headway to be maintained between it and other trains on the same track, and accordingly manipulates the cab signal aspects and speed controls for the trains on the track;

(13) Permissive block system is a traffic control system in which more than one train may occupy a block section at the same time;

(14) Points means where two routes meet or diverge and includes switch diamonds and swing-nose crossings;

(15) RAHCO means Reli Assets Holding Company Limited, established under the Railways Act 2002;

(16) Running line or Main Line means the railway line which is ordinarily used for the passage of trains and is not a siding;

(17) Siding means a line on which vehicles are marshalled, stabled, loaded, unloaded or serviced, clear of the running line and includes an industrial spur;

(18) Signal and traffic control system means mechanical, electric or electronic signal systems and methods for safe control of train movements and includes Interlockings, Track Circuits, Fixed Signals, Cab Signal Systems, Communication Equipment and Block Instruments, or other similar appliances, methods and systems used in non-signaled territory;

(19) Shunting means any movement of a train or rail vehicle other than movement of a train passing normally along a running line.

(20) SUMATRA means the Surface and Marine Transport Regulatory Authority, a body established under section 4 of the Surface and Marine Transport Regulatory Authority Act (No 9 of 2001);

(21) Time locking means a method of electrical locking, effective when a signal has been caused to display an aspect to proceed, the objective being to prevent the movement of any switch, movable point frog, or derail in the route governed by that signal, until after the expiration of a predetermined time interval after such signal has been caused to display its most restrictive aspect.
(22) *Train* means a rail mounted power propelled unit with or without vehicles attached, working with a planned schedule.

### Application

4. (1) These Regulations apply to:

   (a) All new railway constructions subject to the Railways Act 2002 and subsequent amendments;

   (b) The railways already existing at the time of coming into force of the Regulations, provided that within six months after coming into force of these Regulations RAHCO and SUMATRA shall agree on a time line toward full compliance of these Regulations, such transition time being not more than five years.

(2) The Regulations do not apply to moving block system of train operation.

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### PART II: BLOCK WORKING AND SIGNAL INTERLOCKING

#### Blocking System

5. (1) Subject to sub-regulation 5(2), train operations shall be controlled by the absolute block system, whereby when one train or rake is occupying a block section no other train shall be allowed to enter that section.

(2) The permissive block system of operating trains may be used under special circumstances such as shunting operations, repair and maintenance work or emergency operations provided that the procedures and limitations for such system are clearly elaborated in the Railway’s Train Operating Rules and are strictly followed.

#### General Requirement

6. (1) Design, installation and modification of *Signals and Traffic Control systems/Blocking and Signal Interlocking systems* shall be in accordance with best practice recommended by SUMATRA;

(2) Application for installation of new systems and technologies not dealt with in the recommended practice shall be filed with SUMATRA at least sixty days before its implementation and shall indicate how it will provide acceptable level of safety.

#### Provision of Fixed and or Cab Signals

7. The running line, whether on main track or on major branch lines, shall be continuously signalled by provision of wayside fixed signals or cab signals or both.

#### Location of Fixed Signals

8. (1) Subject to sub-regulation 8(2), fixed signals shall be located above or to the right of the track they govern;

(2) Where circumstances require that signals be otherwise placed than prescribed in sub-regulation 8(1), such conditions will be indicated by special instruction in the Railway’s Train Operating
Rules;

(3) The distance between signals shall be such as to allow a train passing one signal at the prescribed line speed to be stopped before the next signal by application of service brakes, without recourse to emergency brakes.

9. (1) Except as provided in sub-regulations 9(2) to 9(4) of this regulation, each signal shall govern the stretch of track from that signal to the next signal or end-of-block sign in advance;

(2) If the aspect of cab signal changes between two fixed signals, the new cab signal aspect shall govern from that point on;

(3) Signals given with flags by employees along track shall supercede the aspect of the fixed signal in the rear;

(4) Any object waved violently by any person along the tracks shall be considered as an emergency stop signal.

10. (1) High signals shall govern movements:

(a) in running lines designed for bidirectional travel,

(b) in running lines designed for unidirectional travel, for travel toward the controlled points

(c) in signaled sidings for travel towards the controlled points;

(2) Dwarf signals shall govern movements:

(a) in running lines designed for unidirectional travel, for travel away from the controlled points;

(b) in signaled sidings for travel away from the controlled points;

(c) in yard tracks, industrial spurs and similar low speed routes.

11. (1) Signal aspects will be displayed by the colour, position, flashing of lights, or combinations thereof;

(2) The indications of any such signal may be qualified or modified by an attached arm, arrow and/or plate;

(3) Lights may be attached to either side of the signal mast and number plates may be provided for the purpose of identifying the location;

(4) The indication of the various signal aspects shall be elaborated in the Railway’s Train Operating Rules.

12. (1) Railway signal and traffic control systems shall be designed using fail safe principles;

(2) Railway signal and traffic control systems shall, so far as
possible, be arranged so that failure of any part of the system shall cause affected signals to give the most restrictive indications that the condition requires;

(3) All control circuits, the functioning of which affects safety of train operation, shall be designed on the closed circuit principle.

13. (1) All Railway Signals controlling movements on or into the running line shall be mechanically or electrically so interconnected with the Points they control as to prevent conflicting movements, excepting for shunting movements;

(2) Notwithstanding the generality of sub-regulation 13(1), interlocking shall be designed to ensure that a signal cannot display a “proceed” aspect unless:

(a) the route is unoccupied,
(b) all points within the route have been correctly set, and
(c) there is no signal displaying a conflicting aspect to proceed, except that opposing signals may indicate “proceed at restricted speed” at the same time for shunting movements only;

(3) After a train has entered a block section, the signal at the entrance of that section shall be positively locked in stop position until the train has entirely passed the next main signal and is protected by a stop aspect.

14. In signalled territory, track circuits and route locking shall be provided to prevent operation of power switches, derails or movable-point frogs, underneath or directly in front of a train.

15. (1) At Interlockings, approach or time locking shall be provided in connection with signals displaying aspects more favorable than "proceed at restricted speed."

(2) In Centralized Traffic Control systems, approach or time locking shall be provided for all controlled signals.

16. Facing point lock or switch-and-lock movement shall be provided for mechanically operated switch, movable-point frog, or split-point derail.

17. Indication locking shall be provided for operative approach signals of the semaphore type, power-operated home signals, power-operated switches, movable-point frogs and derails, and for all approach signals except light signals, all aspects of which are controlled by polar or coded track circuits or line circuits so arranged that a single fault will not permit a more favorable aspect than intened to be displayed.

18. (1) The Authority to Proceed shall be prescribed in the
Proceed

Railway’s Train Operating Rules for the particular system of train operation in use and may include any of the following:

(a) a main signal indicating a proceed aspect,

(b) a token for the block section, taken from a block instrument,

(c) a Line Clear Ticket duly signed by the Station Master,

(d) a Cab Signal indicating a speed greater than zero,

(e) a call-on signal that allows to pass a main signal in stop position,

(f) a written instruction to pass a main signal in stop position or to depart from a station track where a main signal is not available,

(g) a written or verbal instruction and a hand signal for a shunting movement,

(h) any document prescribed in this behalf by special instructions.

(2) Only the Station Master or a person designated for that purpose in the Railway’s Train Operating Rules may issue an Authority to Proceed;

(3) Before issuing the Authority to Proceed the Station Master or designated person shall see that the procedure prescribed for the purpose, so far as it is applicable in the particular case, has been followed;

(4) The Station Master or designated person shall see that the authority to proceed given to a Driver is accurate and that, when it is in writing, it is complete and is signed in full and in ink;

(5) Before taking his train past the station or starting from the station the Train Driver shall ensure that the authority to proceed given to him is the proper authority under the system of working and refers to the block section he is about to enter, and if the said authority is in writing that it is complete and duly signed in full and in ink;

Train Register

19. (1) A Train Register shall be kept by the Station Master or under his orders.

(2) The train register shall record the following information and any other information prescribed in the Railway’s Train Operating Rules:

(a) In manual block system all messages received or sent on the block instrument and the timings of receipt and despatch of every train;

(b) In automatic block system the time at which all train descriptions are sent and received and the time at which
trains arrive, depart or pass the station.

Testing and Inspection

20. (1) The minimum intervals for testing and inspection of Signals and Traffic Control Systems shall be specified by the infrastructure owning company and filed with SUMATRA periodically;

(2) Testing and Inspection of Signals and Traffic Control Systems shall be done only by qualified persons who are properly trained and conversant with the systems and comply with the applicable codes of practice, rules and standards.

Train Operating Rules

21. The Operator shall prepare Train Operating Rules and procedures which shall be filed with SUMATRA before they are put into effect or modified.

PART III: OFFENCES AND PENALTIES

Acts or Omissions by Employees or Agents

22. (1) Where an employee does or omits to do any act which it would be an offence for the employer or a user in terms of these Regulations, unless it is proved that:

(a) in doing or omitting to do that act the employee was acting without the connivance or permission of the employer or any such user;

(b) it was not under any condition or in any circumstance within the scope of the authority of the employee to do or omit to do any act, whether lawful or unlawful, of the character of the act or omission charged; and

(c) all reasonable steps were taken by the employer or any such user to prevent any act or omission of the kind in question,

the employer or any such user shall be presumed to have done or omitted to do that act, and shall be liable to be convicted and sentenced in respect thereof, and the fact that he issued instructions forbidding any act or omission of the kind in question shall not, in itself, be accepted as sufficient proof that he took all reasonable steps to prevent the act or omission.

(2) The provisions of subsection (1) shall apply mutatis mutandis in the case of an agent of any employer or user, except if the parties have agreed in writing to the arrangements and procedures between them to ensure compliance by the agent of the provisions of these Regulations.

(3) Where any employee or agent of any employer or user does or omits to do an act which it would be an offence in terms of these
Regulations for the employer or any such user to do or omit to do, he shall be liable to be convicted and sentenced in respect thereof as if he were the employer or user.

(4) Where any employee or agent of the Government commits or omits to do an act which would be an offence in terms of these Regulations had he been the employee or agent of an employer other than the Government and had such employer committed or omitted to do that act, he shall be liable to be convicted and sentenced in respect thereof as if he were such an employer.

(5) Any employee or agent referred to in sub-regulation (3) may be so convicted and sentenced in addition to the employer or user.

23. Any person who fails to comply with any provision of these Regulations or otherwise obstructs or hinders the implementation of these Regulations commits an offence and is liable on conviction to a fine not exceeding five million shillings or to imprisonment for a term not exceeding eighteen months or to both such fine and imprisonment.

24. (1) Notwithstanding the provisions of these regulations relating to penalty, where a person has committed an offence under these regulations the Authority may, at any time prior to commencement of the hearing by any court in relation thereto, compound such offence and order such person to pay such amount of money, not exceeding one half of the amount of fine which such person would otherwise have been liable if he had been convicted of such offence.

Provided that the Authority shall not exercise its power under this regulation unless the person concerned admits in writing that he has committed such offence and requests that it be compounded.

(2) Where the Authority compounds an offence under this regulation, the order referred to in sub-regulation (1)

(a) Shall be reduced to writing and there shall be attached to it the admission and request referred to in the proviso to the said sub-regulation and a copy of such order shall to the person who committed the offence if he so requests;

(b) Shall specify the offence committed, the sum of money ordered to be paid and the date or dates on which payment is to be settled;

(c) Shall be final and shall not be subject to the provisions of sub-regulation (3) or to any appeal to any court;

(d) May be enforced in the manner as a decree of a court for payment of the amount of money stated in the order.