



# Memorandum

**U.S. Department of  
Transportation**


Office of the Secretary  
of Transportation

Office of Inspector General

---

Subject: INFORMATION: Audit Closure Notification—  
Federal Railroad Administration's Enforcement of  
Rail Safety Laws  
Project No. 07M3005M000

Date: September 11, 2007

From:   
Rebecca Anne Batts  
Acting Assistant Inspector General  
for Surface and Maritime Programs

Reply to: JA-40  
Attn of:

To: Federal Railroad Administrator

On April 2, 2007, the Office of Inspector General (OIG) announced its audit of the Federal Railroad Administration's (FRA) process for assessing and collecting civil penalties. Specifically, our objective was to determine whether FRA's process was an effective tool in ensuring compliance with Federal railroad safety laws. Based on our audit survey, we have determined that FRA's Office of Chief Counsel is: (1) following established procedures for processing violations and assessing civil penalties when railroads do not comply with Federal safety laws, (2) using a variety of methods to achieve compliance with rail safety laws in addition to civil penalties, and (3) implementing a new computerized enforcement case database to improve data quality. As a result, we are closing our audit of FRA's process for assessing and collecting civil penalties. However, we leave open the option to conduct a future audit of FRA's new computerized enforcement case database, which is scheduled to be fully implemented by December 31, 2007.

We appreciate the courtesies and cooperation of FRA representatives during our audit. If you have any questions or concerns or require additional information, please call me at (202) 366-5630 or Brenda James at (202) 366-0202.

#

cc: Gina Christodoulou, RAD-43  
Martin Gertel, M-1