

Sanchez, Rodzandra (COE)

From: Diaz-Greco, Gilma M. (COE)
Sent: Monday, October 23, 2017 11:45 AM
To: Sanchez, Rodzandra (COE)
Subject: Tara C. Smith, Director, and Jose Galan, Assistant Director, Internal Services Department, Miami-Dade County (Travel, Gifts) INQ 17-246
Attachments: Agenda - P3 and Infrastructure Foundation Course.docx; Invitation and Award Letter - Tara C. Smith.pdf; Invitation and Award Letter - Jose Galan.pdf

INQ 17-246 Garrote

From: Centorino, Joseph (COE)
Sent: Monday, October 23, 2017 11:34 AM
To: Garrote, Cynthia (ISD) <Cynthia.Garrote@miamidade.gov>
Cc: Bello-Hermida, Orlanda (ISD) <Orlanda.Bello-Hermida@miamidade.gov>; Sanchez, Gerald (CAO) <Gerald.Sanchez@miamidade.gov>; Kirtley, Eddie (CAO) <Eddie.Kirtley@miamidade.gov>; Turay, Radia (COE) <Radia.Turay@miamidade.gov>; Perez, Martha D. (COE) <Martha.Perez2@miamidade.gov>; Diaz-Greco, Gilma M. (COE) <Gilma.Diaz-Greco@miamidade.gov>
Subject: INQ 17-246 Tara C. Smith, Director, and Jose Galan, Assistant Director, Internal Services Department, Miami-Dade County (Travel, Gifts)

Ms. Garrote:

You have inquired on behalf of Director Tara C. Smith and Assistant Director Jose Galan of the Internal Services Department (ISD) concerning whether they may accept an offer conveyed by the British Consulate-General Miami from the British Embassy in Washington, D.C. to fund travel, lodging and related expenses for Ms. Smith and Mr. Galan to attend a Public Private Partnership (3P) Conference in London, England, from November 6-10, 2017. I have reviewed the invitation and award letters you have attached as well as the agenda for the conference. The grant award includes all travel expenses, course costs, lodging, meals and incidental costs. The conference entails sharing knowledge and experience regarding various aspects of the 3P projects with which Ms. Smith and Mr. Galan are familiar through their County experience with public officials serving in comparable roles with an important trading partner of the United States. There is a clear nexus between their County roles and the topics to be discussed at the conference in which they will interact and exchange information with the other officials relevant to County projects and their own expertise. You have indicated that neither the British Consulate-General in Miami, nor the British Embassy in Washington, D.C. have a contractor or vendor affiliation with Miami-Dade County.

Under the circumstances you have related, I see no ethical prohibition under the Miami-Dade County Conflict of Interest and Code of Ethics of the acceptance by Ms. Smith and Mr. Galan of the proffered expenses covering the costs of the conference. Since the expenses are not to be paid by a County vendor, contractor, service provider, bidder or proposer, the prohibition in Section 2-11.1(w) regarding acceptance of such expenses from such entities does not apply. Even if the British government were a County vendor, the prohibition would not apply to it since it is a government entity. It is also clear that the trip, which was not solicited by the Director or Assistant Director, would fulfill a valid educational purpose and provide a benefit to the County, enabling them to interact with officials from outside the country and share knowledge and experience in an area of growing interest for County government. There is no basis upon which to conclude that there is some inappropriate purpose attached to the gift related to the performance of their official duties. Therefore, their acceptance of the gift of such benefits is not prohibited under Section 2-11.1(e)(3) of the Ethics Code.

Due to the fact that these benefits are being provided directly to these two County officials and not generally to the County, they would be considered gifts to the officials under Section 2-11.1(e)(1) of the Code. Because they obviously will exceed \$100 in value, they would be required to be reported by Ms. Smith and Ms. Galan as gifts on gift disclosure forms pursuant to Section 2-11.1(e)(4).

Please let me know if you have any further questions.

Sincerely,

Joe Centorino

Joseph M. Centorino

Executive Director and General Counsel
Miami-Dade Commission on Ethics and Public Trust
19 W. Flagler Street, Suite 820
Miami, FL 33130
Tel: (305) 579-2594
Fax: (305) 579-0273
ethics.miamidade.gov



From: Garrote, Cynthia (ISD)
Sent: Friday, October 20, 2017 2:27 PM
To: Centorino, Joseph (COE) <Joseph.Centorino@miamidade.gov>
Cc: Bello-Hermida, Orlanda (ISD) <Orlanda.Bello-Hermida@miamidade.gov>
Subject: Request for review

Mr. Centorino,

Please review the attached documents, which include an invitation and award letter to Tara C. Smith, Director of the Internal Services Department and Jose Galan, Assistant Director of the Internal Services Department to a Public Private Partnership and Infrastructure conference which will be held from November 6-10, 2017 in London, England.

The British Embassy in Washington, DC is offering a grant supporting travel to both Ms. Smith and Mr. Galan. The British Consulate-General Miami provided the invitations. Neither agency is affiliated as a vendor to Miami-Dade County.

Please advise if Ms. Smith and Mr. Galan may accept the travel support.

An Agenda of the conference is also attached for your review.

Please let us know if you require any further information. If you can, please send me the Gift Reporting form and Gift Reporting policy to review.

Thank you,

Cynthia Garrote, Esq.,
Procurement Analyst
Ethics Officer
Miami-Dade County Internal Services Department
111 NW 1st Street, 21st Floor, Miami, Florida 33128
305-375-5257 Phone
www.miamidade.gov/internalservices
Connect With Us on [Twitter](#) | [Facebook](#) | [Instagram](#)

Please consider the environment before printing this email.

Miami-Dade County is a public entity subject to Chapter 119 of the Florida Statutes concerning public records. Email messages are covered under such laws and thus subject to disclosure.



British
Consulate-General
Miami

Consul-General
1001 Brickell Bay Drive
Suite 2800
Miami, FL 33131

Tel: (305) 400-6795
Fax: (305) 400-6868
Email: dave.prodger@fco.gov.uk

11 October 2017

Ms Tara C. Smith
Director
Miami-Dade County Internal Services Department

Dear Ms Smith,

I hope this letter finds you well. The US remains the UK's most important partner both in terms of world affairs and for trade and investment. Florida is an essential and increasingly important part of that relationship. My role as the UK Government's representative in Florida is to build and strengthen those partnerships politically and practically. As a result, we are always looking for areas where the UK and US can share best practice, learn from each other, and tackle common problems in unison.

As part of this process, I would very much like to again offer you an opportunity to share experience on Public-Private-Partnerships. The British Embassy in Washington, DC is arranging a US delegation to the United Kingdom of senior city and state officials and policymakers focused on Public Private Partnership and Infrastructure from **6-10 November 2017**. Given your leadership in Miami-Dade County Internal Service Department and P3, I am delighted to invite you to take part in this visit.

In addition to sharing your insight and experience in managing public private partnerships, the course will tackle concerns of industry and government around the world by:

- Detailing Key Project Preparation Documents including Output Specifications, Risk Allocation, Affordability, Timetable and Sponsor Commitment – all of which are crucial for industry to have confidence in a robust deal and be prepared to bid into future opportunities.
- Clearly defining the value for money of using PPP as a financing model, and the role of private finance regulatory tools.
- Sharing best practice in terms of national infrastructure plans with emphasis on education, energy, urbanisation, and transit.
- Providing an opportunity to see live projects in areas of interest.

Attached please find a formal offer letter outlining the course and grant offer/requirements. The trip will be fully funded by the British Government. Either Andres Machado or I would be happy to discuss the visit with you in more detail.

Once again, I am delighted to invite you to participate in this visit. **We would be most grateful if you could please let us know in the next few days if you or a member of your team is able to attend.**

Yours sincerely,

David

David Prodger
HM Consul General
Cel: +1 305 338 9820



British Embassy
Washington

**AWARD LETTER
UK TRAVEL SPONSORSHIP**

Dear Ms Smith,

The British Embassy in Washington is pleased to offer you a grant supporting your travel to London for the UK Public Private Partnership and Infrastructure Foundation Course, taking place **6-10 November 2017**.

As part of a government-to-government best practise exchange, this course is an opportunity to immerse yourself in a five day, in-depth discussion on leveraging private finance in infrastructure development. The course will also provide you with an overview of P3, including areas of demonstrated success as well as the challenges. You will hear from UK experts who operate globally with experience in delivering projects from design to operation. Additionally, you will be able to engage with official UK counterparts on policy development and regulatory environment, harnessing infrastructure asset development and operation.

As the need increases for US infrastructure investment, states and agencies have a unique opportunity to accelerate development by fostering an environment that attracts foreign direct investment, job creation, innovation, economic wealth, and become globally competitive.

This grant will cover:

- Course costs
- **Economy class** ticket between your local airport and London for dates corresponding to the course, booked via an embassy contracted travel agent
- Airport transport or parking fees
- Hotel accommodations for 5 nights, booked via an embassy employee
- Group transport for official meetings
- Official group meals and incidentals, excluding alcoholic purchases
- Please retain **ALL** receipts for reimbursement and reporting purposes

As a condition of funding, we require that you complete an evaluation survey following the completion of the UK Government-sponsored event you attended. You may be periodically contacted following the course in order that we may capture outcomes stemming from your visit.

ABOUT UK IPA'S PPP AND INFRASTRUCTURE FOUNDATION COURSE

The Infrastructure and Projects Authority brings together expertise in infrastructure and the financing, delivery and assurance of major projects as a single unit, and supports infrastructure and project



British Embassy
Washington

**AWARD LETTER
UK TRAVEL SPONSORSHIP**

development and delivery across the whole of government. The City UK offering is a compressed opportunity to understand P3, the rationale for its use and government support in infrastructure development. The Course environment helps to address concerns of industry and government from around the world, to project the clear benefits of private finance and the relief on local budgets by:

- Detailing Key Project Preparation Documents including Output Specifications, Risk Allocation, Affordability, Timetable and Sponsor Commitment – all of which are crucial for industry to have confidence in a robust deal and be prepared to bid into future opportunities.
- Clearly defining the value for money of using PPP as a financing model, and the role of private finance regulatory tools.
- Sharing best practise in terms of national infrastructure plans with emphasis on education, energy, urbanisation and transit.
- Opportunity to see live projects in areas of interest.

TO PROCEED

- ❖ Please complete and return this signed **Award Letter** with reimbursement information via e-mail to: Andrew.Hordern@fco.gov.uk. Please also cc the following e-mail: andres.machado@mobile.trade.gov.uk.

REIMBURSEMENT PROCEDURE (FOLLOWING COMPLETION OF TRAVEL)

Delegation members may be required to incur some travel costs to be reimbursed upon return to the United States. Costs are typically reimbursed via the embassy's official PayPal account. If PayPal is not a suitable option for reimbursement, a direct deposit can be performed. Please note that the direct deposit process can take up to 60 days to complete.

As soon as you return to the US, you will receive an email explaining the reimbursement procedure in detail but below is a brief outline of required documentation:

- Total your receipts and create an itemized invoice (a generic version will be supplied to you)
- Submit that invoice along with electronic copies of ALL receipts to Andrew.Hordern@fco.gov.uk
- Mail the actual receipts to:
Andrew Hordern
British Consulate-General
845 Third Ave
New York, NY 10022



British Embassy
Washington

**AWARD LETTER
UK TRAVEL SPONSORSHIP**

- You will need to submit the above items no later than **1 DECEMBER 2017**
-

REMINDER – SPENDING GUIDELINES

As the spending of government funds must be tracked closely, please note that the following guidelines regarding the terms of the award must be observed:

- Air travel allocation can only be used to pay for standard economy airfare (premium economy, economy plus and other similar programs are not considered standard economy). Should you wish to alter the set dates of your flight or upgrade, please coordinate with the travel agent to cover additional costs from your personal budget.
- Reimbursements can only be made in one currency and to one bank account. Any currency conversions will be calculated using the FCO's £/\$ exchange rate at the time of travel. **Please note that we are unable to reimburse personal laundry, internet, tobacco, alcoholic drinks, or tips and gratuities that are given at your discretion. Please save all receipts for reimbursement.**
- Please explain any items on hotel bills where it is not clear what the purchase is for. If you are unable to pay for the costs of this trip outright then please contact us and we will discuss payment options.

If you have any questions regarding any part of the reimbursement process or the aforementioned guidelines, please e-mail Andrew.Hordern@fco.gov.uk.

Kind Regards,

Andrew Hordern
Economic and Prosperity Officer

CONFIRMATION SIGNATURE

I, the applicant, agree to abide by the requirements of this travel award. Requirements, as outlined in this document and in preceding e-mail correspondence, require travel by the above-named applicant. I understand that I must spend the funds in accordance with the guidelines stated below. For reimbursement, I understand that records of ALL expenses must be kept and submitted by **1 December 2017** along with the completed feedback form (electronic copy).

Signature _____ Today's Date: _____



British Embassy
Washington

**AWARD LETTER
UK TRAVEL SPONSORSHIP**

REIMBURSEMENT INFORMATION

PayPal Account

Account Holder Name _____

Account Email _____

Account Phone Number _____



British
Consulate-General
Miami

Consul-General
1001 Brickell Bay Drive
Suite 2800
Miami, FL 33131

Tel: (305) 400-6795
Fax: (305) 400-6868
Email: dave.prodger@fco.gov.uk

20 October 2017

Mr Jose A. Galan
Assistant Director
Miami-Dade County Internal Services Department

Dear Mr Galan,

I hope this letter finds you well. The US remains the UK's most important partner both in terms of world affairs and for trade and investment. Florida is an essential and increasingly important part of that relationship. My role as the UK Government's representative in Florida is to build and strengthen those partnerships politically and practically. As a result, we are always looking for areas where the UK and US can share best practice, learn from each other, and tackle common problems in unison.

As part of this process, I would very much like to offer you an opportunity to share experience on Public-Private-Partnerships. The British Embassy in Washington, DC is arranging a US delegation to the United Kingdom of senior city and state officials and policymakers focused on Public Private Partnership and Infrastructure from **6-10 November 2017**. Given your experience in Miami-Dade County Internal Service Department and P3, I am delighted to invite you to take part in this visit.

In addition to sharing your insight and experience in managing public private partnerships, the course will tackle concerns of industry and government around the world by:

- Detailing Key Project Preparation Documents including Output Specifications, Risk Allocation, Affordability, Timetable and Sponsor Commitment – all of which are crucial for industry to have confidence in a robust deal and be prepared to bid into future opportunities.
- Clearly defining the value for money of using PPP as a financing model, and the role of private finance regulatory tools.
- Sharing best practice in terms of national infrastructure plans with emphasis on education, energy, urbanisation, and transit.
- Providing an opportunity to see live projects in areas of interest.

Attached please find a formal offer letter outlining the course and grant offer/requirements. The trip will be fully funded by the British Government. Either Andres Machado or I would be happy to discuss the visit with you in more detail.

Once again, I am delighted to invite you to participate in this visit. **We would be most grateful if you could please sign and date the grant letter in order for the Embassy to book your flights.**

Yours sincerely,

David

David Prodger
HM Consul General
Cel: +1 305 338 9820



British Embassy
Washington

**AWARD LETTER
UK TRAVEL SPONSORSHIP**

Dear Jose A. Galan,

The British Embassy in Washington is pleased to offer you a grant supporting your travel to London for the UK Infrastructure and Projects Authority's Public Private Partnership and Infrastructure Foundation Course, taking place 6-10 November 2017.

As part of a government-to-government best practise exchange, this course is an opportunity to immerse yourself in a five day, in-depth discussion on leveraging private finance in infrastructure development. The course will also provide you with an overview of P3, including areas of demonstrated success as well as the challenges. You will hear from UK experts who operate globally with experience in delivering projects from design to operation. Additionally, you will be able to engage with official UK counterparts on policy development and regulatory environment, harnessing infrastructure asset development and operation.

As the need increases for US infrastructure investment, states and agencies have a unique opportunity to accelerate development by fostering an environment that attracts foreign direct investment, job creation, innovation, economic wealth, and become globally competitive.

This grant will cover:

- Course costs.
- **Economy class** ticket between your local airport and London for dates corresponding to the course, booked via an embassy contracted travel agent
- Airport transport or parking fees
- Hotel accommodations for 5 nights, booked via an embassy employee
- Group transport for official meetings
- Official group meals and incidentals, excluding alcoholic purchases
- Please retain **ALL** receipts for reimbursement and reporting purposes

As a condition of funding, we require that you complete an evaluation survey following the completion of the UK Government-sponsored event you attended. You may be periodically contacted following the course in order that we may capture outcomes stemming from your visit.

ABOUT UK IPA'S PPP AND INFRASTRUCTURE FOUNDATION COURSE

The Infrastructure and Projects Authority brings together expertise in infrastructure and the financing, delivery and assurance of major projects as a single unit, and supports infrastructure and project



British Embassy
Washington

AWARD LETTER UK TRAVEL SPONSORSHIP

development and delivery across the whole of government. The City UK offering is a compressed opportunity to understand P3, the rationale for its use and government support in infrastructure development. The Course environment helps to address concerns of industry and government from around the world, to project the clear benefits of private finance and the relief on local budgets by:

- Detailing Key Project Preparation Documents including Output Specifications, Risk Allocation, Affordability, Timetable and Sponsor Commitment – all of which are crucial for industry to have confidence in a robust deal and be prepared to bid into future opportunities.
- Clearly defining the value for money of using PPP as a financing model, and the role of private finance regulatory tools.
- Sharing best practise in terms of national infrastructure plans with emphasis on education, energy, urbanisation and transit.
- Opportunity to see live projects in areas of interest.

TO PROCEED

- ❖ Please complete and return this signed **Award Letter** complete with reimbursement information via e-mail to: Andrew.Hordern@fco.gov.uk by 20 October 2017.

REIMBURSEMENT PROCEDURE (FOLLOWING COMPLETION OF TRAVEL)

Delegation members may be required to incur some travel costs to be reimbursed upon return to the United States. Costs are typically reimbursed via the embassy's official PayPal account. If PayPal is not a suitable option for reimbursement, a direct deposit can be performed. Please note that the direct deposit process can take up to 60 days to complete.

As soon as you return to the US, you will receive an email explaining the reimbursement procedure in detail but below is a brief outline of required documentation:

- Total your receipts and create an itemized invoice (a generic version will be supplied to you)
- Submit that invoice along with electronic copies of ALL receipts to Andrew.Hordern@fco.gov.uk
- Mail the actual receipts to:
Andrew Hordern
British Consulate-General
845 Third Ave
New York, NY 10022



British Embassy
Washington

**AWARD LETTER
UK TRAVEL SPONSORSHIP**

- You will need to submit the above items no later than **1 DECEMBER 2017**
-

REMINDER – SPENDING GUIDELINES

As the spending of government funds must be tracked closely, please note that the following guidelines regarding the terms of the award must be observed:

- Air travel allocation can only be used to pay for standard economy airfare (premium economy, economy plus and other similar programs are not considered standard economy). Should you wish to alter the set dates of your flight or upgrade, please coordinate with the travel agent to cover additional costs from your personal budget.
- Reimbursements can only be made in one currency and to one bank account. Any currency conversions will be calculated using the FCO's £/\$ exchange rate at the time of travel. **Please note that we are unable to reimburse personal laundry, internet, tobacco, alcoholic drinks, or tips and gratuities that are given at your discretion. Please save all receipts for reimbursement.**
- Please explain any items on hotel bills where it is not clear what the purchase is for. If you are unable to pay for the costs of this trip outright then please contact us and we will discuss payment options.

If you have any questions regarding any part of the reimbursement process or the aforementioned guidelines, please e-mail Andrew.Hordern@fco.gov.uk.

Kind Regards,

Andrew Hordern
Economic and Prosperity Officer

CONFIRMATION SIGNATURE

I, the applicant, agree to abide by the requirements of this travel award. Requirements, as outlined in this document and in preceding e-mail correspondence, require travel by the above-named applicant. I understand that I must spend the funds in accordance with the guidelines stated below. For reimbursement, I understand that records of ALL expenses must be kept and submitted by **1 December 2017** along with the completed feedback form (electronic copy).

Signature _____ Today's Date: _____



British Embassy
Washington

**AWARD LETTER
UK TRAVEL SPONSORSHIP**

REIMBURSEMENT INFORMATION

PayPal Account

Account Holder Name _____

Account Email _____

Account Phone Number _____





Day One

0900: Coffee and Registration

0915: Welcome and Housekeeping

0930: Overview of UK's Infrastructure Framework and PPPs

The UK's institutional framework for infrastructure, infrastructure strategy and financing mechanisms including PPPs.

Javier Encinas, Project Director, International (IPA)

1115: Break

1130: Value for Money

What is Value for Money (VfM)? New approaches to VfM and VfM exercise.

James Ballingall, Head of International (IPA)

1300: Lunch

1400: Project Preparation Process – the Five Case Model

Role of the Outline Business Case (OBC) and key project preparation documents, including output specifications and risk allocation.

Joseph Lowe, Head of Economics Branch (HM Treasury)

1600: Break

1615: Project Preparation Process - the Project initiation Routemap



The Project Initiation Routemap and early intervention to improve the delivery of major projects, and IPA's international programme.

Lisa Symes, Head of Project Initiation Routemap (IPA)

1730: End of Day One

Day Two

0900: Coffee and Registration

0915: UK Private Finance Models - PFI and PF2 and Lessons Learned

Rationale for the UK's PF2 model and main differences to the PFI model.

Karineh Grigorian (IPA)

1115: Break

1130: Financial Modeling

Building of financial models in procurement and in operation.

Axel Jaegle, Commercial Specialist, Financial Advisory (IPA)

1300: Lunch

1400: Site Visit: Network Rail (London Bridge)

Approximate Timings:

1400: Bus departs HM Treasury

1430: Bus arrives

1500: Presentation

1600: Tour



1700: Bus departs

1745: Bus arrives at HM Treasury

Accompanied by IPA Staff

Day Three

0900: Coffee

0915: Digital Construction: Building Information Modeling

BIM tools for digital construction..

Richard Lane, Delivery Manager, International (UK BIM Task Group)

1005: Break

1015: Project Profession and the Major Project Leadership Academy

UK support for developing project leader capability

Megan Vandome, Project Delivery – Workforce and Capability Lead

Diane Taylor-Cummings, Deputy Director Project Delivery Profession (IPA)

1115: Break

1130: PFI Sector Study: Education

UK experience of PPPs in the education sector.

Sara Humber (Education Funding Agency)

Jacqui Langley-White (Addleshaw Goddard)

1300: Lunch



1400: Contract Management

What is contract management? Transition process, stages of contract, managing performance, risk allocation and re-negotiation.

Eddie Hannah (IPA)

1545: Break

1600: UK Gateway Process and Project Assurance Regime

IPA assurance processes for infrastructure and major projects.

Phil Kemp, Strategic Delivery Advisor (IPA)

1730: Day Three Ends

Day Four

0900: Meet at HM Treasury

0915: Site Visit: Crossrail TBC

Approximate Timings:

1400: Bus departs HM Treasury

1445: Bus arrives

1500: Presentation

1600: Tour

1700: Bus departs

1745: Bus arrives at HM Treasury

Accompanied by IPA Staff



1300: Lunch

1400: Economic Regulation of Utilities

UK experience of utility regulation, privatization vs. PPPs and electricity and water market regulation.

Akshay Kaul, Partner, Commercial (Ofgem)

1530: Break

1545: Procurement Process

Guide to improving delivery capability.

James Ballingall, Head of International (IPA)

1730: Day Four Ends

Day Five

0900: Coffee

0915: Case Study: London Underground PPP

Experience of how PPPs have been used in the transport sector and lessons learned.

Karineh Grigorian, Commercial Manager, International (IPA)

1045: Break

1110: UK Government Finance Support and the UK Guarantees Scheme



UK Government facilities and experience of supporting infrastructure financing, including the Green Investment Bank and the UK Guarantees Scheme.

Steve Lomas, Head of Finance Team (IPA)

1215: Presentation from UK Export Finance

Presentation from the UK Government's export credit agency.

Vomic Shah (UK Export Finance)

1245: Lunch

1345: Final Q&A and Wrap-Up

Final question and answer session, course review and feedback.

International Team (IPA)

1430: Presentation of Certificates

1500: End of Day Five

Course concludes.