



# **INSTRUCTIONS GUIDE FOR THE VERIFICATION IN LISTS**

## **Version 2**

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**Risk Management**

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Public Once Approved

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## I. INTRODUCTION

The Central American Bank for Economic Integration (CABEI) is an international multilateral development financial institution whose resources are invested, among others, in the non-financial public sector of the member countries, which in general for the selection of consulting firms, use CABEI's Procurement Policy and its applications norms.

The Policy for obtaining goods, works, services and consultancies with CABEI resources , in Article 15 on the provisions for Bidders, Contractors and Consultants establishes that *"companies or individuals included in CABEI's List of Prohibited Counterparties or other list of ineligibility may not be awarded, or be subject to extension of contracts with total or partial financing from CABEI, nor those declared ineligible or sanctioned in organizations recognized by CABEI for this purpose; nor those who have been found guilty by a final judgment in matters related to prohibited practices by the competent authority, while the sanction is in force."*

Pursuant to the foregoing, for the selection of consulting firms, the verification of CABEI's List of Prohibited Counterparts (LPC) or other list of ineligibility is required by the Executing Agency in the processes of acquisition of goods, works, services or consultancies, promoted within the framework of operations financed with CABEI resources.

## II. OBJECTIVE

The purpose of this document is to detail the steps to follow for the verification of natural and legal persons in the LPC, as well as the management of searches in other ineligibility lists. CABEI's Borrowers/Beneficiaries or Implementing Units may use the content of this guide as support and context to guide the application of sound practices in their efforts and related activities.

## III. SCOPE

This guide contains the procedures to be followed for the verification of natural and legal persons in the LPC, as well as the management of searches in other ineligibility lists, within the framework of CABEI's Procurement Policy Application Norms.

## IV. ABBREVIATIONS AND TERMS

- CABEI: Central American Bank for Economic Integration.
- IU: Implementing Unit
- LPC: List of Prohibited Counterparties

## V. DEFINITIONS

- List of Prohibited Counterparties: The List is an internal catalog of counterparties with which CABEI has no appetite to enter into new contractual, business, labor or similar relationships.
- Implementing Unit: It is the body, entity, dependency or office designated by the Borrower as responsible for the execution of programs or projects financed by CABEI.

## VI. RELATED DOCUMENTATION

- Procurement Policy of Goods, Works, Non-consulting Services and Consulting Services with CABEI resources.
- Regulations for the Application of the Procedures for Procurement of Goods, Works, Non-Consulting Services and Consulting Services financed with CABEI Resources
- CABEI's Anti-Fraud, Anti-Corruption and Other Prohibited Practices Policy.

## VII. DEVELOPMENT

### 1. CABEI's List of Prohibited Counterparties

1.1. CABEI may, in its sole discretion, incorporate the Counterparties and their Related Parties into the List of Prohibited Counterparties that, for this purpose, it has instituted. The temporary or permanent disqualification from the List of Prohibited Counterparties will be determined on a case-by-case basis by CABEI.

1.2. To verify that a counterpart is not listed herein, the following must be done:

a) Registration

The Implementing Unit must designate a maximum of two (2) people in the "External Registry to consult CABEI's LPC".

b) Requirement

The person designated by the Implementing Unit must send to the dedicated email the request for verification of the bidder in the List of Prohibited Counterparties.

This requirement must contain:

- i. **Full names and surnames:** The full name of the counterparty must be used. In the case of a natural person, use the full name of that person (use both names, if

- applicable) and the two surnames (paternal and maternal). In the case of a legal entity, use the trade name (or acronyms) and business name of the entity; and
- ii. **Identification number:** The identification number of the counterparty must be obtained, either of the natural or legal person (identification, birth certificate, driver's license and / or passport, Unique Registry-URC of the counterparty, tax identification number, or other similar). Ensure to have a copy of the supporting identification document on file.
  - iii. **Process data:** It must be indicated that the consultation is carried out within the framework of a procurement process of an operation financed by the Bank (general data: number and name of the loan, as well as name and number of the process).
- 1.3. Likewise, the person from the Implementing Unit in charge of the operation must keep the evidence of the searches in the file (physical or digital).

## 2. Other CABEI Ineligibility Lists

- 2.1. The Implementing Unit must ensure that companies or individuals are not listed on any ineligibility list recognized by CABEI. In the case of a natural person, observe the full name of that person (use both names, if applicable) and the two surnames (paternal and maternal). In the case of a legal entity, observe the commercial name (or acronyms), as well as the corporate name of the entity.
- 2.2. The main lists of ineligibility are detailed below:
- a) United Nations (UN) Consolidated List of Sanctions: <https://scsanctions.un.org/search/>
  - b) Consolidated list of persons, groups and entities subject to European Union (EU) financial sanctions - To gain access, a free account must be created within the EU platform: <https://webgate.ec.europa.eu/fsd/fsf#!/files>
  - c) Consolidated list of individuals, groups, and entities subject to World Bank (WB) sanctions:  
<https://www.worldbank.org/en/projects-operations/procurement/debarred-firms>
  - d) Office of Foreign Assets Control (OFAC) Consolidated List:  
<https://sanctionssearch.ofac.treas.gov/>
  - e) List "HM Treasury Consolidated List of Targets":  
<https://sanctionssearchapp.ofsi.hmtreasury.gov.uk/>

### **3. Matches or possible matches of related counterparties**

- 3.1. In the event that the Implementing Unit identifies a match in the searches in the LPC or in the other lists of ineligibility, in accordance with the provisions of the "Procurement Policy of Goods, Works, Services and Consultancies with CABEI Resources" and its application norms, they may not be awarded, or be subject to the extension of contracts with total or partial financing from CABEI.
- 3.2. Likewise, when the Implementing Unit identifies a possible match in the lists of ineligibility set forth in the previous section, it must be confirmed or discarded through the information obtained in the Affidavit or public sources of information. If confirmation or discard cannot be made through these means, further information must be requested from the counterparty (with due prudence).
- 3.3. The person in charge must keep in the file (physical or digital) the documentary evidence of the procedure that allowed the confirmation or discarding of the coincidence.

### **4. Confidentiality of the Information**

- 4.1. Any information request will be treated by CABEI in a strictly confidential manner. Likewise, the user receiving the information must take the necessary actions to safeguard the information.