

HR07 · STEP 5 · FINAL

Background Checks & Hiring Risk Review

## Background Check Risk Summary

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Final decision brief translating screening findings into overall risk posture, recommended action, and documented rationale for the hiring team.

### ABOUT THIS DOCUMENT

This is a **sample** deliverable from the **Background Checks & Hiring Risk Review** workflow (HR07) in AGASI AiOS. It shows the expected structure and tone. All names, numbers, and facts are **fictional**.

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# Background Check Risk Summary

**Role:** Senior Data & AI Consultant — Data & AI Advisory Practice **Organisation:** Northbridge Advisory Partners **Date:** Current review cycle **Prepared by:** HR Specialist, People Operations **Review Scope:** Candidate A, Candidate B, Candidate D **Provider:** Sterling Background Checks (Report IDs: STG-2026-00847, STG-2026-00848, STG-2026-00849)

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## Executive Overview

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Background checks were completed for three candidates shortlisted for the Senior Data & AI Consultant role. Candidate A presents low risk with one minor employment date discrepancy requiring clarification. Candidate B presents low risk with two outstanding verification items (dissolved employer, certification lookup pending). Candidate D presents medium risk due to a satisfied CCJ that interacts ambiguously with client-data-access compliance requirements, an undeclared employment gap, and an unreachable reference — HR Director review is required before any offer can proceed for this candidate.

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## Confirmed Issues

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### Candidate D

- **Issue:** Satisfied County Court Judgment (CCJ) — £2,340, dated March 2021, satisfied September 2021.
- **Severity:** Medium
- **Source:** STG-2026-00849, Credit Check section.
- **Impact on Hiring Decision:** The risk tolerance policy (NAP-RISK-2024-012, Section 5) classifies satisfied CCJs in the 3–6 year range as Low severity unless the role involves direct financial management. However, the compliance requirements (NAP-COMP-2025-017, Section 3) state candidates accessing client financial data must have "no adverse findings" on credit checks. These two policies do not explicitly define whether a satisfied CCJ constitutes an "adverse finding." A documented interpretation from the HR Director and Legal Advisor is required before this candidate's hiring process can continue.

No confirmed issues were identified for Candidate A or Candidate B.

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## Follow-Up Items

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### Candidate A

- **Item:** Employment start date at Meridian Consulting Group verified as March 2021; candidate application states January 2021 (2-month discrepancy).
- **Required Action:** Request written clarification from the candidate. If the candidate can document a pre-employment consultancy arrangement covering January–February 2021, the discrepancy can be resolved as Low/administrative.
- **Deadline:** Within the standard follow-up window

### Candidate B

- **Item 1:** Employment at TechCore Systems (July 2017 – August 2019) cannot be independently verified — company dissolved February 2023 per Companies House records.
- **Required Action:** Accept alternative evidence (LinkedIn history, former colleague reference) as supplementary verification and document the limitation in the candidate file, or request the candidate provide payslips or tax records from the period.
- **Deadline:** Within the standard follow-up window
- **Item 2:** Azure Data Engineer Associate (DP-203) certification not found under the name and email provided. Second lookup submitted with alternative email by Sterling.
- **Required Action:** Await Sterling supplementary report. If certification cannot be verified, confirm with the Practice Head whether DP-203 is mandatory for this hire under the upcoming policy transition referenced in NAP-COMP-2025-017 Section 4.
- **Deadline:** Within the supplementary report window

## Candidate D

- **Item 1:** Employment end date at Nexus Digital Consulting verified as November 2022; candidate claimed December 2022 (1-month discrepancy).
  - **Required Action:** Request written clarification from the candidate. Minor discrepancy, likely administrative.
  - **Deadline:** Within the standard follow-up window
  - **Item 2:** Undeclared employment gap of approximately 3 months (December 2018 – February 2019).
  - **Required Action:** Request written explanation per NAP-COMP-2025-017 Section 5. Gaps exceeding 30 days must be documented in the background check file.
  - **Deadline:** Within the standard follow-up window
  - **Item 3:** Second professional reference (VP of Transformation, major telco account) unreachable after two emails and one phone call.
  - **Required Action:** Await Sterling final contact attempt within the standard provider follow-up window. If unsuccessful, request the candidate provide an alternative second reference to meet NAP-COMP-2025-017 Section 2 minimum.
  - **Deadline:** Within the supplementary report window
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## Candidates Cleared

No candidates received a Clear overall risk rating. All three candidates have at least one follow-up item outstanding.

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## Recommended Actions Before Hiring

1. **Candidate D — HR Director review required.** Per NAP-RISK-2024-012 Section 4, candidates with more than two unresolved follow-up items must be reviewed by the HR Director before offer extension. The satisfied CCJ also requires a documented policy interpretation regarding the interaction between NAP-RISK-2024-012 Section 5 and NAP-COMP-2025-017 Section 3.
2. **Candidate B — await supplementary report.** The certification verification result (expected within the supplementary report window) determines whether Candidate B has an unresolved compliance gap. Do not finalize offer terms until this item is resolved.
3. **Candidate A — request employment date clarification.** This is the lowest-risk outstanding item. Clarification can proceed in parallel with interview scheduling.
4. **All candidates — obtain outstanding written clarifications within the standard follow-up window.** Set a follow-up review for the business day after that window closes to reassess overall risk ratings once all items are resolved.
5. **Policy clarification needed.** The HR Director should confirm whether the published satisfied-CCJ guidance (NAP-RISK-2024-012 Section 5) applies in conjunction with the "no adverse findings" credit check requirement (NAP-COMP-2025-017 Section 3) for client-data-access roles. This interpretation affects the current review and all future hires into this role family.