

# Appendix E: Classification Memorandum Template

TO:

FROM:

DATE:

RE:

## SYSTEM INFORMATION

System Name: \_\_\_\_\_

Vendor/Developer: \_\_\_\_\_

Assessment Team Lead: \_\_\_\_\_

Assessment Team Members: \_\_\_\_\_

Assessment Period: \_\_\_\_\_ to \_\_\_\_\_

## CLASSIFICATION RESULTS

Prohibited Use Screening:  Passed (proceed to risk assessment)

Failed (system is prohibited)

Risk Level:  Low  Substantial  N/A (if Prohibited)

Opportunity Level:  Low  Substantial

Classification Level:  Standard Deploy  Careful Implementation

Evaluate  Generally Avoid

## ASSESSMENT RATIONALE

### System Complexity and Interpretability

Using the assessment questions in Appendix C, summarize the system's complexity profile across the four dimensions listed there. Note whether the system is lower or higher complexity overall and what additional scrutiny or safeguards this triggers.

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### Risk Assessment

Using the Sector Context Guidance (Appendix D) and Risk Assessment table and Risk Classification Questions from Phase 2, Section 5, document your assessment of how AI changes risk compared to your current practices for the following:

- + Liberty Impact: Does the system affect or influence arrest, detention, bail, charging, sentencing, or release decisions?
- + Rights Impact: Does the system affect procedural rights or substantive legal rights? Does it involve surveillance or process sensitive personal data?
- + Error Consequences: Could errors lead to wrongful detention, rights violations, or other significant harm?
- + Additional risk factors (disparate impact on protected groups, limited ability for people to contest decisions, data privacy, cybersecurity concerns, etc.)

Include specific examples or scenarios in your summary.

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## Opportunity Assessment

Using the Sector Specific Guidance (Appendix D) and Opportunity Assessment table from Phase 2, Section 5, document your assessment of how AI changes the opportunities across each of the following factors:

- + Performance Improvement: Does the system demonstrate improvement over existing processes?
- + Evidence Quality: Is there evidence from pilots or independent research, or are claims based on assumptions?
- + Stakeholder Support: Do community members and end-users validate the value and helpfulness of the system?
- + Cost-Effectiveness: Does a cost-benefit comparison favor AI over alternatives?

Note which factors you weighted most heavily and why. Quantify benefits where possible.

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## Core Findings

Summarize the most critical factors that drove the classification decision, including any concerns, limitations, or conditions that should be considered.

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## Stakeholder Input

Document any stakeholder consultations, community feedback, or input from subject matter experts that informed this assessment.

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## RECOMMENDED ACTION:

Approve for Implementation  Approve with Conditions  Reject

## Implementation Recommendation Details

Provide specific recommendations for next steps, including any conditions, safeguards, or modifications required before implementation. If the classification is Generally Avoid and you are moving forward, explain the rationale and document alternatives considered. If the classification is Evaluate, document the cost-benefit analysis supporting the decision.

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## ADDITIONAL CONSIDERATIONS

### Level 2 Safeguards (For Substantial-Risk Systems Only)

If the system is classified as Substantial Risk (Careful Implementation or Generally Avoid) and you are moving forward, document the additional Level 2 safeguards that will be required, including: rights protection measures, community engagement plans, independent validation requirements, enhanced audit and oversight procedures, and (if the system is also high-complexity) additional technical safeguards. See Phase 4, Level 2 Enhanced Requirements.

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### Compliance and Policy Alignment

Note relevant laws, regulations, policies, or ethical frameworks considered in this assessment.

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**Assessment Team Lead Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Reviewer/Approver Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Note: With appropriate confidentiality protections, this memo should be treated as public record to ensure public accountability and transparency.