

Beyond The Text: Analysis of Privacy Statements through Syntactic and Semantic Role Labeling

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Abstract

This paper formulates a new task of extracting privacy parameters from a privacy policy, through the lens of Contextual Integrity (CI), an established social theory framework for reasoning about privacy norms. Through extensive experiments, we further show that incorporating CI-based domain-specific knowledge into a BERT-based SRL model results in the highest precision and recall, achieving an F1 score of 84%. With our work, we would like to motivate new research in building NLP applications for the privacy domain.

1 Introduction

A privacy policy informs users about a company’s information handling practices. However, privacy policies are lengthy documents, full of incomplete and vague statements that impose a significant cognitive burden on the reader to infer whether a given service respects their privacy (Bhatia et al., 2016a; Bhatia and Breau, 2018; Reidenberg et al., 2015).

This challenge has inspired many recent works in applying natural language processing and machine learning techniques to automatically process privacy policies and retrieve the relevant information (Harkous et al., 2018; Ravichander et al., 2019). While these efforts help in identifying paragraphs in the privacy policy that mention sensitive information (Evans et al., 2017; Bhatia and Breau, 2015), opt-out clauses (Sathyendra et al., 2016) or description of data collection practice (Sadeh et al., 2014), they focus on the policy as a whole rather than on the privacy implication of the individual privacy statements that it contains. In particular, they do not aim to identify relevant and often missing contextual information that is critical for unambiguously understanding the scope of individual statements. This paper focuses on a new NLP

task that aids the analysis of privacy policies at this more fine-grained level.

To illustrate the problem, consider a typical example of an ambiguous privacy statement: “**Yahoo collects information about your transactions with us and with some of our business partners, including information about your use of financial products and services that we offer.**” At first glance, the statement may seem to provide all the relevant information about a first-party collection of transactional data. However, it in fact misses some crucial contextual information. To understand what is missing, we use the contextual integrity (CI) framework (Nissenbaum, 2009). CI defines privacy as an appropriate flow of information which is expressed in terms of five essential *CI parameters*: Sender, Recipient, Subject, Information Type, and Transmission Principle. The latter is a constraint on the information flow expressing the condition under which information is being transferred. The statement in our example specifies only 3 out of the 5 necessary parameters (highlighted in bold) – Subject, Recipient, and Information Type. This leaves the sender of the information and transmission principle to the reader’s interpretation. In some cases, the relevant missing information appears in different places in the policy, for example, under different sections such as “When do we collect your information” or “Our partners”. These, however, do not help in contextually positioning the above statement so that the reader can determine whether their expectations have been met.

In this paper, we show that existing NLP models and techniques can assist a human annotator in identifying relevant privacy parameters in the policy text. The proposed novel NLP task can support the following applications: automate comparative analysis of privacy policies using the theory of contextual integrity (Shvartzshnaider et al., 2019a; Sanfilippo et al., 2019); extraction and enforcement of prescribed CI-based policy from legal and co-

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operate document (Shvartzshnaider et al., 2019a; Sanfilippo et al., 2019), an enhanced auditing of existing privacy policies for correctness and consistency (Andow et al., 2019).

2 Contextual Integrity Primer

The theory of Contextual Integrity (CI) defines privacy as appropriate information flow in accordance with governing privacy norms. As mentioned in the introduction, CI provides a framework to capture and compare information flows against established norms. To perform an analysis of the privacy implications of a given information flow, CI requires identifying five essential parameters: actors (sender, receiver, subject), the type of information (attribute), and the condition or purpose of the information exchange (transmission principle). It is critical to state all five parameters to ensure a non-ambiguous privacy implication analysis. A misalignment of parameter values—i.e., an information flow that deviates from the established norm—constitutes a potential privacy violation.

For example, consider a medical context, an established norm states that a patient (sender) could share their (subject) medical information (information type) with their doctor (receiver) confidentially (transmission principle). An information flow (e.g., generated by an app or a system) that deviates from this norm (e.g., by changing the value of TP to public and/or sending the medical information to a different receiver) potentially violates the patient’s privacy and requires further investigation. CI provides a heuristic to examine violating information flows in terms of how they contribute to values, functions, and purposes of a particular context (Nissenbaum, 2009).

CI and Privacy Policies By identifying the values of CI parameters in a privacy statement, we can reason about privacy implications in a way that more closely aligns with users’ privacy expectations and societal norms.

This analysis can help in identifying potentially confusing or misleading statements, e.g., when one of the five parameters such as transmission principle or receiver is missing or ambiguous (Shvartzshnaider et al., 2019a). Furthermore, one can use the identified parameters to formalize the expressed informational norms and privacy rules in formal logic (Shvartzshnaider et al., 2019b; Datta et al., 2011). These formalisms can in turn be used to build systems that enforce the specified rules or

automatically audit information flows to detect rule violations.

3 Related Work

Several recent efforts have focused on identifying important and relevant privacy statements using constituency parsing (Sathyendra et al., 2017, 2016; Evans et al., 2017), logistic regression (Ammar et al., 2012) and crowdsourcing (Wilson et al., 2016b) techniques. These works focus on other aspects of privacy policy analysis such as opt-out disclosure, right to information access, etc.

As we discuss in Section 4, our work explicitly looks to map the privacy statement to a fixed set of parameters. We also show that Question Answering (QA) models do not perform satisfactorily when applied to our task. Similar limitations of the reading comprehension models were observed by Ravichander et al. (2019), who composed the PRIVACYQA dataset, an annotated corpus consisting of 1750 questions about the contents of privacy policies such as “What data does this game collect?” and “Will my data be sold to advertisers?”.

In prior work on automatic privacy statement analysis, Bhatia et al. (2016b) extracted privacy statements on information handling practices such as “collecting your e-mail address” or “sharing your location” using a typed dependency parser and crowdworker annotations. More relevant to our efforts, Bhatia and Breaux (2018) applied Semantic Roles theory to manually annotate five privacy statements and identify action verbs (action data) such as “collection”, “retain”, “use”, “transfer” and associated semantic roles that capture who performs the action, how the action is carried out, etc.

Andow et al. (2019) developed PolicyLint to analyze privacy policy using sentence-level NLP techniques to capture statements in a four-element tuple (actor, action, data object, entity) to identify contradictory statements. Andow et al. (2020) used a simplified 3-tuple statement abstraction (actor, data object, entity), and identify incorrect and ambiguous statements. Trimananda et al. (2022) build on this effort to audit the traffic and privacy policies in Oculus VR systems. Per CI theory, both OVRseen and PoliCheck capture insufficient information to perform a privacy implication analysis, which requires five CI parameters. Nevertheless, we can use PolicyLint and PoliCheck libraries to help process privacy policies to generate statements

that we can feed into our annotation pipeline.

Shvartzshnaider et al. (2019a) crowdsourced privacy policies annotation to compare policy versions, identifying missing contextual information and overloading of parameters that contribute to users’ inability to understand the prescribed information practices. Our work automates the task of annotating privacy policies with the CI parameters.

4 Task Formulation

The CI parameter extraction task is as follows. Given a privacy statement *stmt*, apply a mapping function *M* to extract the CI parameters: sender, receiver (r), subject (s), attribute (att), transmission principle (tp):

$$M(stmt) = (s, r, sub, att, tp)$$

The main challenge behind the task is identifying the lexical items in the statement that correspond to the contextually relevant values to help downstream NLP tasks perform the privacy analysis. This is not a trivial task as privacy policies are not written with CI in mind. Often, policies are written by legal and policy teams whose primary concern is not readability. Many privacy statements are missing essential CI parameters and often comprise syntactically complex sentences (Bhatia and Breaux, 2018).

In the absence of an automatic way to extract CI parameters, researchers have employed crowdsourcing and manual annotation to perform the analysis (Shvartzshnaider et al., 2019a). However, these methods do not scale due to the high cost of annotation by experts and hence we propose an ML-based approach by training or mapping existing models trained on NLP tasks to extract CI parameters. Further, we expand on a growing body of research in human-in-the-loop ML-assisted validations (Section 5.3) to evaluate the precision and recall of the model annotations.

5 Methods

In this section, we describe our method to perform the CI parameter extraction task by incorporating the contextual semantics of CI parameters to modify two conventional NLP techniques: Syntactic Dependency Parser (DP) and BERT-based Semantic Role Labeling (SRL). We then describe how these individual techniques can be integrated into an end-to-end model to extract CI parameters from privacy policies. In addition, in our evaluation

(Section 6), we also compare our method to three baseline models tailored to address the CI parameter extraction task: Question-Answering, BERT, and Hidden Markov Model.

5.1 Enhancing NLP tasks using CI

We focus on Syntactic DP and SRL-based approaches and describe how we have incorporated CI-based domain-specific knowledge.

5.1.1 CI-based Dependency parsing

Dependency parsing is the task of identifying syntactic roles or dependency types for each of the words in a sentence. This involves parsing a sentence and identifying the syntactic structure denoting the grammatical rules that govern a language. The parser (Honnibal and Johnson, 2015) uses a non-monotonic transition system that allows for a large number of parse trees for each intermediate state. This modified arc-eager transition system has been shown to repair earlier parsing mistakes. It allows for overwriting previous parsing decisions and achieves a higher accuracy as compared to the greedy parsing approaches. Not all the dependency types identified for the English language are relevant in our study. We use the DP outputs to identify the relevant CI parameters in the privacy statement.

To identify CI parameters at a single sentence level using local relationships, we run a typed dependency parser (DP) on the text of the policies. We accept paragraphs as input, split them into sentences, and parse each sentence using the Spacy I/O¹ dependency parser. The model (Honnibal and Montani, 2018) achieves near state-of-the-art performance on most NLP tasks². Based on our analysis of DP outputs for a sample of statements, we identified the dependency types that mapped to specific CI parameters as shown in Table 1.

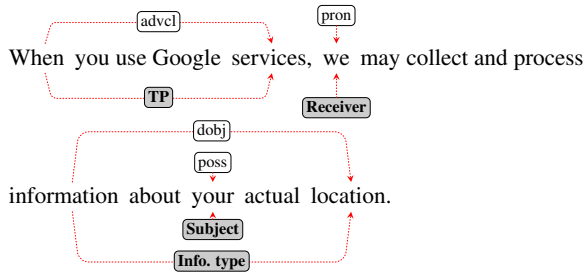
CI Parameter Type	Dependency types
Attribute	<i>dobj, parataxis, nsubj-pass</i>
Sender/Receiver	<i>nsubj, pronouns</i>
Transmission Principle	<i>xcomp, ccomp, advcl, oprd</i>
Subject	<i>poss, agent</i>

Table 1: Mapping of dependency types corresponding to CI parameters. To represent dependencies we use the Stanford Typed Dependency Manual (De Marneffe and Manning, 2011) notations.

¹<https://spacy.io>

²<https://spacy.io/usage/facts-figures>

For example, for the following statement from the Google privacy policy, the DP parser will return the following dependency type tags (white nodes), which are mapped to the corresponding CI parameter (gray nodes):



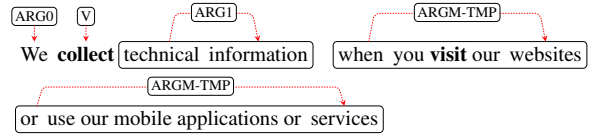
Note that, as is evident in Table 1, the dependency types cannot distinguish between the parameter of sender and receiver. For this, we defer to the task of SRL to identify based on the semantic meaning of the word.

CI-based Semantic Role Labeling Semantic Role Labeling (SRL) is the task of mapping words or phrases in a sentence to a semantic role such as that of an agent, goal, or result (Jurafsky and Martin, 2014). Often, in the classic natural language processing pipeline, this task is considered to have subsumed syntactic and parts-of-speech tasks within it (Tenney et al., 2019). For example, the task of distinguishing between a sender and a receiver can be done through SRL, but not through syntactic DP.

Similar to DP, we map the semantic roles to the relevant CI parameters. Table 2 shows the CI parameter mapping based on a verb’s syntactic arguments. For example the verb “collect” has the following associated arguments (see PropBank corpus (Martha et al., 2005)): ARG0: agent, entity acquiring something, ARG1: thing acquired, ARG2: source, ARG3: more specific attribute of ARG1 being collected, ARG4: benefactive.

To recover the predicate argument structure of a sentence we use an out-of-the-box AllenNLP implementation of the Bidirectional LSTM and SRL BERT models (Stanovsky et al., 2018; Shi and Lin, 2019). The first approach uses a bidirectional LSTM model for sequence tagging that allows for multiple overlapping tuples per sentence by extending deep BIO taggers for semantic role labeling, trained on the Open information extraction task. The second approach uses two sequence-to-sequence BERT models, one for predicate sense disambiguation, and another for argument identification and classification, with relevant parts of the

sentence and predicate as part of the input, with a sequence of semantic role labels for outputs. For example, for the following statement, the BERT SRL model returns:



Example 1: SRL processed statement from a Walmart privacy policy

Based on the syntactic analysis of privacy policy statement sentences, we mapped the arguments onto the CI parameters. In the above example, ARG0 is mapped to Recipient. ARG1 is an Attribute, and ARGM-TMP is the TP. For each of the verbs, these mappings are slightly different, as shown in Table 2. This approach, although crude, covers a significant class of privacy policy statements that prescribe the flow of information.

	“Sending” action verbs	“Receiving” action verbs
Sender	ARG2	ARG0
Receiver	ARG0	ARG2
Attribute	ARG1, C-ARG1	
TP	ARGM-TMP, ARGM-ADV, ARGM-MNR, ARGM-PNC, ARGM-CAU	

Table 2: Mapping semantic roles (notations) to specific CI parameters.

5.1.2 CI-related Semantic Frames

The SRL model returns verb-argument predicates for all the identified verbs in a sentence. Some of these verbs are not relevant to information exchange. For example, in the statement in Example 1, the verb “visits” does not convey semantically meaningful information regarding the exchange of technical information.

To reduce the number of false positives, we provide a list of verbs to the algorithm which highly correlates with information exchanges. The choice of verbs is based on a frequency analysis of verbs, along with filtering out verbs that are not related to information flows (as shown in Table 11 in the Appendix). It is helpful to think of this approach through the lens of the linguistic theory of Frame semantics (Fillmore et al., 1976), which posits that the specific meaning of words (frame elements) can be understood only as part of a particular context (semantic frames). In our approach, we would in-

voke CI-related semantic frames. Specifically, we look for SRL-predicates that are associated with any transfer of information (actual or perceived). This includes a list of verbs such as “sending”, “sharing”, “transmitting” and others that frequently appear in privacy policy text as identified by our POS analysis of the OPP-115 policies. In addition to invoking a general semantic frame, we differentiate between different roles of associated argument with each predicate. In particular, for predicates like “sending”, “sharing”, “transmitting” the ARG2 is typically associated with the agent role of a “sender”, the ARG1 captures what was “sent” and ARG0 is associated with the receiving agent role. For verbs like “gather”, “collect”, “receive”, “acquire” the roles are reversed: ARG0 is typically associated with a “sending” agent role, the ARG1 describes what is “Received”, and ARG2 is associated with the “receiving” agent role. Grouping the verbs signifying a “sending” or a “receiving” action helps us map the corresponding arguments to the relevant CI parameters for Senders and Receivers. The mapping for TP and Attribute remains the same for all verbs. Finally, our SRL mapping does not include a semantic role mapping of the Subject parameter. We operate on the assumption that the CI subject parameter in most statements is the user.

5.1.3 Clues from CI to Improve SRL

We first gather the arguments from the SRL model and map them to CI parameters, as shown in Table 2. Identifying the arguments for all verbs in the privacy statement results in high recall numbers. Nevertheless, the precision suffers because not all of the verbs need to be invoked. To reduce the number of false positive mappings, we implement an Algorithm 1 which analyzes all the relevant SRL verbs to check whether any of them appear as part of the Transmission Principle (TP) relative to another verb. Specifically, after the arguments are mapped to CI parameters, we iterate through each verb in the sentence and remove it if it has already been mapped as part of a TP for another verb.

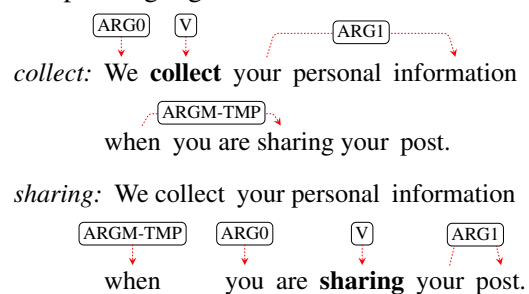
Algorithm 1

```

Args ← SRL(sentences)
Dict(Verb, CI_params) ← MapToCI(Args)
for all verb_i ∈ Dict(Verb : CI_params) do
  for all verb_j ∈ Dict(Verb : CI_params) do
    if verb_i ∈ Dict[verb_j][TP] then
      RemoveMappings(Dict(verb_i))
    end if
  end for
end for

```

For example, in the following statement, the SRL model will pick up two predicates (verbs) and corresponding arguments:



These arguments will be mapped to CI parameters, as described in the previous section. The verb “share” is redundant in this context since it is part of the TP of the verb “collect.” Once we identify the *redundant* verb, we ignore all arguments associated with it, i.e., our algorithm does not consider these results. We do keep those parameters that overlap with the parameters produced by non-redundant verbs. For instance, in our example, we ignore the verb “share” and the associated with it arguments. Specifically, the [ARG0: you] and the [ARG1: your post] which otherwise will be mapped to a CI sender and attribute parameters, respectively.

5.2 Expert Annotation Task

We perform *model*-assisted annotation of close to a thousand privacy statements that discuss information exchanges across 50 policies (see Table 9 in the Appendix) from the OPP-115 Corpus (Wilson et al., 2016a).

5.2.1 Data processing

To extract relevant statements, we relied on existing OPP-115 corpus annotations of “data practices” in each of the segments of the policy. We limit our CI parameter extraction to labeled segments of the policy that discuss information exchanges such as segments labeled as “First Party Collection/Use”, “Third party sharing/collection”, and “Data Reten-

tion”. We also cleaned that data to remove short parts of speech that are intrinsically captured by a syntactic parser.

The selected statements from the privacy policies were then presented to a human annotator, one of the authors who is an expert on CI. The expert then marked the valid results for each of the privacy statement sentences and CI parameters, which form the ground truth. A sentence was marked as a “valid” flow if it prescribed an information exchange of any kind. Otherwise, by default, all sentences are considered “invalid.” Overall, the extraction phase resulted in a total of **2808** privacy statement sentences, out of which **994** were labeled as valid, containing **4048 CI parameters**. On average, a policy contains 18 valid statements, with outliers of 4 and 45 valid statements. Furthermore, our dataset contains: a) **4333** SRL labels (2846 true positives and 1487 false positives), **5974** DP labels (2484 true positives and 3490 false positives). Table 8 in the Appendix shows the annotation labels breakdown for each CI parameter.

Annotation reliability We assessed the reliability of the expert by co-coding with another author annotating 10 of the 50 policies to achieve a substantial to excellent agreement with Cohen’s Kappa score range of 0.67-0.88 on the CI parameter annotations. Table 7 shows the corresponding breakdown of Cohen’s Kappa score (McHugh, 2012) for each of the CI parameters.

Parameter	Cohen’s Kappa Agreement score
Sender	0.88
Receiver	0.80
Attribute	0.63
Subject	0.73
TP	0.68

Table 3: The Cohen’s Kappa agreement scores for CI parameters annotation.

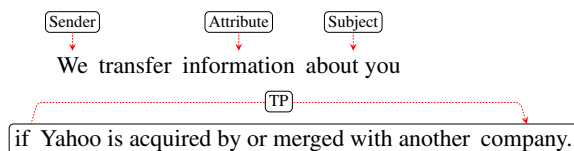
5.3 ML-assisted expert validations

The outputs of the methods we have proposed in Section 5 may have an overlap with the ground truth. However, for CI parameters like the transmission principle, it is not clear if relying on an exact string match or a fuzzy match would consistently capture what makes any output a transmission principle. Hence, comparing the outputs with

the expert annotations requires a careful analysis that goes beyond unigram/bigram/trigram match or fuzzy match of the two spans of text. Instead, we perform a validation of the outputs generated by the model, where the expert can confirm if the output matches the expectation and criteria for the five CI parameters³. Such a human-in-the-loop annotation process is necessary to check for any inconsistencies as shown in prior work for image annotations (Zurowietz et al., 2018; Marques and Barman, 2003), knowledge-oriented text tasks (Klie et al., 2018), clinical text annotations (South et al., 2012). The task involved comparing against ground-truth human annotations, and selecting among the model-based outputs, the ones that match the definition of a contextual integrity parameter. For example, although the model generated output “has an xx% match as per fuzzy match with the ground truth parameter.”, it still does not capture the critical component that defines the transmission principle. Similarly, we see patterns for other CI parameters that are not easily definable in terms of rules that can scale with the number of models we compare against. This limitation is one that is highlighted in human-in-the-loop annotations and validations with domain expertise (Monarch, 2021), and improving the scaling of this process is left for future work.

5.4 Baseline Models

Question Answering As an exploratory experiment, we used an open domain QA model (AllenNLP library with the BiDAF model with GloVe embeddings⁴) to answer CI-related questions regarding each privacy statement. For example, to identify the marked CI parameters in the following privacy statement, we asked a variation of these questions: “Who is transferring?”, “What is being transferred?”, “Who is the subject?”, “Who is the receiver/recipient?”, “Why, When, and How is the transfer facilitated?”:



BERT We frame the CI parameter extraction task as a sequence-to-sequence transformation problem

³See Figure 3 in the Appendix of a screenshot of the choices that the annotation tool built for this purpose

⁴bidaf-model-2017.09.15-charpad.tar.gz

to fine-tune a Bidirectional Encoder Representations from Transformers (BERT) model (Devlin et al., 2018) on our dataset to map a sequence of words in privacy statements to a corresponding sequence of CI tags. The input sentence is tokenized as a sequence, and the output sequence is a per-token mapping between {None, Sender, Receiver, Attribute, TP and Subject} parameters. For training and testing, we transformed our dataset into the CoNLL2003 format and used the AllenNLP re-implementation of (Gardner et al., 2018) with the train-test split ratio as 80/20 and values of hyperparameters taken from (Gardner et al., 2017).

Hidden Markov Model As a baseline, we also formulate the CI parameter extraction as a part-of-speech (POS) tagging task and use a Hidden Markov Model (HMM) probabilistic model (Jurafsky and Martin, 2014) for annotating words in a sentence. Specifically, we train a trigram HMM by converting the dataset to CoNLL-2003 format (Sang and De Meulder, 2003) with CI parameters as the target labels and an 80/20 train-test split. By default, HMM relies on the Markov assumption that the probability of a particular state only depends on the preceding state. However, in order to enrich our HMM model, we consider the two previous states when predicting the current CI parameter, turning it into a trigram model. Further, we obtain the final transition probability distribution by linearly combining unigram, bigram, and trigram probability distributions:

$$P(t_i | t_{i-1}, t_{i-2}) = \lambda_1 P(t_i | t_{i-1}, t_{i-2}) + \lambda_2 P(t_i | t_{i-1}) + (1 - \lambda_1 - \lambda_2) P(t_i)$$

The parameters λ_1 and λ_2 are fine-tuned on the validation set with values 0.42 and 0.48 providing the best results. The Viterbi algorithm (Forney, 1973) is used in the decoding phase for the extended model.

6 Evaluation

We now compare the performance of the different models on the CI Annotation task using the dataset in Section 5.2 with some common baseline models repurposed for CI.

6.1 Baseline Performance

Table 4 shows the results of our expeditionary experiment. The overall F1 scores for the QA model indicate poor results for the extraction of all CI parameters. In our experiment, QA outputs multiple

phrase predictions for each of the parameters. For precision, we calculate true positives as a fraction of all positives predicted for each parameter. For recall, we calculate the fraction of true positives to all correct parameters.

	Recall	Precision	F1
Attribute	0.21	0.15	0.17
Receiver	0.08	0.06	0.07
Sender	0.03	0.02	0.02
Subject	0.07	0.02	0.03
TP	0.21	0.16	0.18

Table 4: Precision, Recall, and overall F1 score for QA Comprehension model used for the CI parameter extraction task. The recall and precision values for a parameter are calculated by macro averaging over privacy statements.

This result aligns with previous uses of QA in the privacy domain (Ravichander et al., 2019), which observed that compared to a human annotator, using standard reading comprehension models for privacy policies returns unsatisfactory results. These experiences suggest that QA models require additional heuristics to filter the many false positives as a result of operating on a paragraph level and not on sentence-level statements.

Table 5 shows the results of training a trigram Hidden Markov Model and a fully-supervised BERT for the CI-parameter extraction task. Both models perform relatively poorly for our task, especially when it comes to the ‘‘Sender’’ parameter. HMM’s overall F1 scores are slightly better for detecting other parameters, with the highest F1 score achieved for the TP parameter in both models.

CI Param.	Recall		Precision		F1	
	HMM	BERT	HMM	BERT	HMM	BERT
Attribute	0.67	0.61	0.57	0.51	0.62	0.55
Receiver	0.44	0.53	0.52	0.36	0.47	0.43
Sender	0.08	0.12	0.15	0.16	0.10	0.14
TP	0.80	0.75	0.68	0.55	0.74	0.64

Table 5: F1 Scores for fully-supervised HMM and fine-tuned BERT model. The recall and precision values are calculated on word level over the whole test set.

6.2 CI Improved Performance

Table 6 shows precision and recall for both DP (Spacy (Honnibal and Montani, 2018)) and SRL

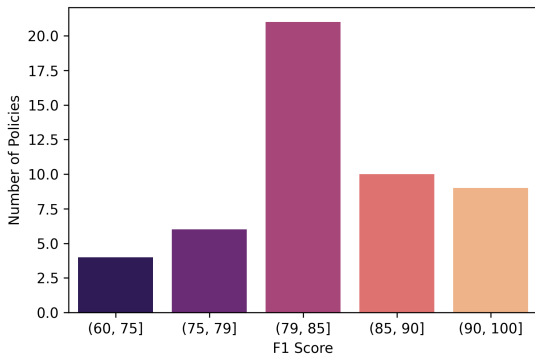


Figure 2: Histogram of F1 scores across privacy policies

models (AllenNLP BERT SRL (0.8.5) and (2.1.0)). Both DP and the two SRL models have high recall numbers. However, in DP the precision is lower, indicating that although DP identifies all the relevant instances, it also produces a large number of false positives. Overall, compared to DP, both SRL models have higher precision and recall. The AllenNLP (2.1.0) SRL-adapted structured BERT model (Shi and Lin, 2019), with comparable results⁵ to robust models like RoBERTa (Liu et al., 2019) and T5 (Raffel et al., 2019) on CoNLL SRL datasets (Pradhan et al., 2013), produced better results compared to the earlier version (0.8.5) (Stanovsky et al., 2018). Furthermore, compared to DP, the SRL models have slightly higher recall numbers and much higher precision. We, however, note that SRL did not process 49 valid statements missing 159 valid CI parameters. In this case, the statements were ignored by our SRL algorithm because the semantic frame was not triggered as they contained verbs that our algorithm did not track. Some of these verbs are not always associated with information exchange, like “sell” and “rent”.

6.2.1 Improved SRL

Table 6 shows the results for SRL after applying our algorithm incorporating domain-specific heuristics on both BERT SRL model versions. The precision results have improved across all the parameters, affecting recall only slightly. We note that our F1 metric is calculated on the phrase prediction level.

Performance across Policies: Figure 2 shows F1 score distributions for the annotated policies. The majority of policies (31) have F1 scores in the

⁵<https://paperswithcode.com/sota/coreference-resolution-on-conll-2012>

Model	CI Parameters	Recall	Precision	F1
DP	Attribute	0.68	0.43	0.53
	Subject	0.79	0.26	0.39
	TP	0.76	0.61	0.68
SRL (0.8.5)	Attribute	0.92	0.70	0.80
	Receiver	0.94	0.74	0.83
	Sender	0.95	0.63	0.75
	TP	0.89	0.69	0.78
SRL (2.1)	Attribute	0.88	0.71	0.79
	Receiver	0.88	0.75	0.81
	Sender	0.90	0.64	0.75
	TP	0.93	0.70	0.80
CI-SRL (0.8.5)	Attribute	0.90	0.75	0.82
	Receiver	0.88	0.79	0.83
	Sender	0.90	0.73	0.81
	TP	0.88	0.81	0.84
CI-SRL (2.1)	Attribute	0.88	0.78	0.83
	Receiver	0.87	0.81	0.84
	Sender	0.88	0.76	0.82
	TP	0.84	0.83	0.84

Table 6: F1 Scores for all the models: DP, SRL models and Improved SRL (CI-SRL). The recall and precision values for each parameter are calculated by macro averaging over privacy statements.

range of 80-89, which is consistent with the average F1 scores per parameter. Nine policies perform much better giving a high F1 value of more than 90, six policies are within the 75-80 range, and four policies in the 60-75 F1 range. Refer to Table 9 in the Appendix for the F1 scores for each policy.

We analyzed the privacy statements for which our heuristic algorithm achieved low precision scores to understand the reasons behind the poor performance. Our SRL-based algorithm performed poorly on statements with semantically complex sentences. Semantically complex statements comprise multiple verb-predicates with related arguments that result in a large number of false positives. We also noticed a large number of false positives in long connected sentences that due to improper punctuation appear as a single sentence to our algorithm.

These cases are not only problematic for an NLP task but also require significant cognitive effort to analyze the privacy implications of the pre-

scribed information flows. Rather than adapting our method to yield better results in these cases, we can use it to detect these complex sentences so that they can be restated more clearly.

7 Discussion

In this paper, we describe an NLP-based method to perform automatic CI annotation of privacy statements. This work has several implications for different stakeholders, some of which were discussed in (Shvartzshnaider et al., 2019a).

For consumers, who often find privacy policies too lengthy and complex to read, the CI annotation provides the ability to query the privacy policies for specific flows it prescribes. These can involve asking about mentions of specific “senders” and “recipients” in the privacy policies, the type of information being collected or shared, and listing the conditions and purposes. Beyond enumerating the prescribed CI parameters, the method enables contextual queries that reflect up to five CI parameters. For example, instead of asking about mentions of “location information,” the query can include the senders, and recipients of interest, such as third parties, and contractors. The query can be further refined to include specific constraints under which location data is transferred, e.g., when the user is using the app.

The CI abstraction also allows for querying different privacy policies, potentially, from different sectors. Moreover, it can serve as a way to compare different versions of the same privacy policy to examine the new changes that were introduced in the latest version. We can identify which new flows were added or removed and, consequently, what data types, senders, recipients, subjects, and conditions were changed.

Finally, combining with existing crowdsourcing methodologies of learning users’ privacy expectations (Apthorpe et al., 2018; Shvartzshnaider et al., 2016; Apthorpe et al., 2019), we can perform a large-scale analysis of what privacy policies align with users’ expectations and existing societal norms.

For relevant agencies like the Federal Trade Commission, the CI-based analysis of privacy policies can serve as a robust auditing technique for prescribed data handling practices. Using the CI framework, the resulting information flows can be automatically compared with existing regulation (Apthorpe et al., 2019) and users’ privacy ex-

pectations (Shvartzshnaider et al., 2016; Apthorpe et al., 2018). Furthermore, the analysis can help detect privacy statements with missing contextual information that results in ambiguous flows. Ultimately, we envision our work used as part of the overall evaluation framework for performing dynamic and static analysis of digital services, similar to (Sanfilippo et al., 2019). Specifically, the CI annotated policy fed into an automatic test suite for possible violation of privacy policy, regulation, or societal expectations.

7.1 Limitations

As discussed in Section 6, our methods result in high F1 scores (>80%) of annotations. Nevertheless, there are cases where our approach does not perform as well. Our evaluation of different models shows that a better SRL model coupled with domain knowledge heuristic improves results. Previous results (Shvartzshnaider et al., 2019a) showed that crowdworkers are able to identify CI parameters with high precision. Coupled with our approach, crowdworkers can filter the false positives and increase the precision further. Eliminating the need for validation of model outputs in the evaluation phase would also make it easy to evaluate better models in the future.

8 Conclusion

In this paper, we formulate the new CI parameter extraction NLP task for the analysis of privacy statements. We adapt several conventional NLP models (QA, HMM, BERT, DP and SRL) to perform the task and demonstrate that it cannot be solved trivially. In our evaluation of privacy statements of 50 real-world privacy policies, we show that a method combining clues from CI with syntactic DP coupled with type-specific SRL obtains the highest F1 score. We build on this insight to devise an algorithm that incorporates CI-based domain-specific knowledge to achieve higher precision and recall. The proposed algorithm post-processes ML outputs and increases automation of a tedious task that has so far been performed manually. Further improvements of this task, leveraging domain knowledge for complex scenarios will directly benefit downstream applications ranging from aiding the design and analysis of privacy policies to building systems that meet users’ privacy expectations by construction.

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Appendix

A Annotation reliability

We assessed the reliability of the expert by co-coding with another author annotating 10 of the 50 policies to achieve a substantial to excellent agreement with Cohen’s Kappa score range of 0.67-0.88 on the CI parameter annotations. Table 7 shows the corresponding breakdown of Cohen’s Kappa score (McHugh, 2012) for each of the CI parameters.

Parameter	Cohen’s Kappa Agreement score
Sender	0.88
Receiver	0.80
Attribute	0.63
Subject	0.73
TP	0.68

Table 7: The Cohen’s Kappa agreement scores for CI parameters annotation.

B Additional Tables

Parameter	No. of Labels
Sender	546
Subject	340
Attribute	1133
Receiver	928
TP	1101

Table 8: Annotated CI parameters labels

“Sending” action verbs	“Receiving” action verbs
share (1188)	acquire (27)
transfer (130)	learn (56)
exchange (7)	collect (1042)
show (49)	receive (376)
send (297)	use (346)
supply (59)	gather (78)
provide (1142)	include (629)
disclose(359)	contain (413)
submit (150)	ask (13@)
give (101)	accept (290)
deliver (109)	store (212)
mail (16)	require (504)
display (69)	save (30)
export (3)	record (118)
forward (22)	keep (77)
refer (60)	combine (51)
release (37)	get (21)
tell (44)	track (134)
pass (13)	

Table 11: Verbs used to trigger SRL semantic frames. The number in the brackets shows the frequency of appearance in the OPP-115 corpus.

Company	Recall	Precision	F1
Liquor	0.86	0.47	0.61
Lodgemfg	0.73	0.55	0.63
New Orleans Online	0.88	0.55	0.68
St. Louis fed	0.82	0.58	0.68
Google	0.79	0.67	0.73
UH	0.78	0.69	0.73
NBC Universal	0.80	0.67	0.73
Sheknows	0.87	0.67	0.75
Instagram	0.87	0.67	0.75
Gawker	0.87	0.67	0.76
Military	0.91	0.66	0.76
Citizen	0.87	0.68	0.76
Everydayhealth	0.84	0.72	0.77
FoxSports	0.94	0.66	0.78
CoffeeReview	0.88	0.70	0.78
Reference	0.95	0.67	0.79
Zacks	0.93	0.69	0.79
News Busters	0.87	0.73	0.79
DCCCD	0.81	0.78	0.80
PlayStation	0.88	0.73	0.80
ABCNews	0.88	0.74	0.80
Yahoo	0.81	0.80	0.80
High Gear Media	0.92	0.72	0.81
PBS	0.85	0.77	0.81
Fortune	0.93	0.72	0.81
Time inc	0.94	0.73	0.82
LatinPost	0.90	0.77	0.83
Lynda	0.90	0.78	0.84
IMDB	0.88	0.80	0.84
MSN	0.87	0.81	0.84
Reddit	0.89	0.80	0.84
Ted	0.97	0.77	0.86
NY Times	0.87	0.86	0.87
AOL	0.98	0.78	0.87
Geocaching	0.91	0.82	0.87
Amazon	0.90	0.84	0.87
TaylorSwift	0.96	0.81	0.88
USA	0.96	0.81	0.88
WashingtonPost	0.94	0.83	0.88
TheAtlantic	0.96	0.83	0.89
Dogbreedinfo	0.92	0.86	0.89
Austincc	0.93	0.85	0.89
Walmart	0.93	0.85	0.89
BankofAmerica	0.87	0.92	0.90
Fool	0.95	0.85	0.90
TicketMaster	0.91	0.89	0.90
SI	0.90	0.93	0.91
TheFreeDictionary	0.92	0.93	0.92
Earthkam	1.00	0.88	0.93
OpenSecrets	1.00	1.00	1.00

Table 9: F1 scores for all annotated policies

Model	CI Parameters	Recall		Precision		F1	TP	FP	FN
DP	Attribute	0.35	0.71	0.47	791	1490	322		
	Subject	0.24	0.75	0.36	255	806	85		
	TP	0.57	0.81	0.67	895	666	206		
SRL (0.8.5)	Attribute	0.55	0.85	0.67	960	773	173		
	Receiver	0.67	0.85	0.75	790	394	138		
	Sender	0.55	0.86	0.67	470	381	76		
	TP	0.62	0.74	0.67	814	498	287		
SRL (2.1)	Attribute	0.64	0.66	0.74	952	626	181		
	Receiver	0.70	0.85	0.74	787	335	141		
	Sender	0.70	0.85	0.77	460	288	86		
	TP	0.72	0.78	0.75	855	325	246		
CI-SRL (0.8.5)	Attribute	0.60	0.83	0.7	939	617	194		
	Receiver	0.72	0.81	0.76	754	298	174		
	Sender	0.64	0.83	0.72	453	251	93		
	TP	0.76	0.73	0.74	805	258	296		
CI-SRL (2.1)	Attribute	0.69	0.81	0.75	923	416	210		
	Receiver	0.78	0.80	0.79	743	212	185		
	Sender	0.74	0.79	0.77	433	149	113		
	TP	0.85	0.75	0.79	821	144	280		

Table 10: F1 Scores for all the models: DP, SRL models and Improved SRL (CI-SRL). Here, the recall and precision values for each parameter is calculated using the total number of parameters, and not macro averaging over privacy statements as in Table 7. TP, FP and FN are the number of True Positive (TP) and False Positive (FP).

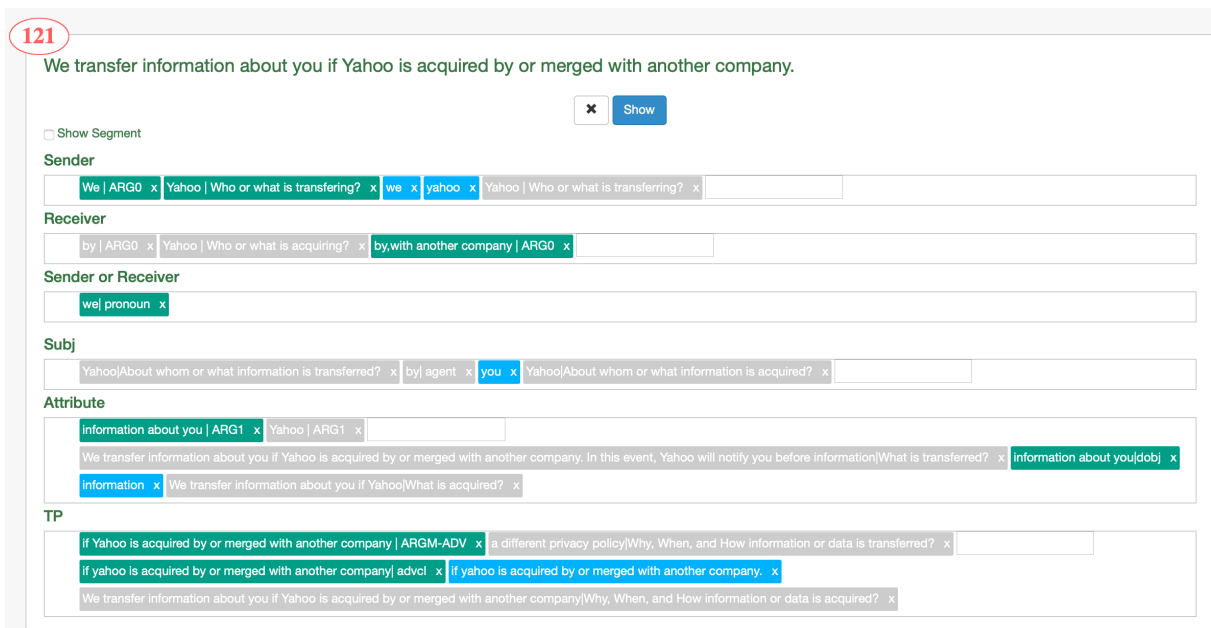


Figure 3: Annotation interface. The expert annotator marks which outputs matched the expectation and criteria for the five CI parameters.