Efficient Aspect-Based Summarization of Climate Change Reports with Small Language Models

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Abstract

The use of Natural Language Processing (NLP) for helping decision-makers with Climate Change action has recently been highlighted as a use case aligning with a broader drive towards NLP technologies for social good. In this context, Aspect-Based Summarization (ABS) systems that extract and summarize relevant information are particularly useful as they provide stakeholders with a convenient way of finding relevant information in expert-curated reports. In this work, we release a new dataset for ABS of Climate Change reports and we employ different Large Language Models (LLMs) and so-called Small Language Models (SLMs) to tackle this problem in an unsupervised way. Considering the problem at hand, we also show how SLMs are not significantly worse for the problem while leading to reduced carbon footprint; we do so by applying for the first time an existing framework considering both energy efficiency and task performance to the evaluation of zero-shot generative models for ABS. Overall, our results show that modern language models, both big and small, can effectively tackle ABS for Climate Change reports but more research is needed when we frame the problem as a Retrieval Augmented Generation (RAG) problem and our work and dataset will help foster efforts in this direction.¹

1 Introduction

Climate change reports are critical for policymakers and researchers in tackling climatic challenges and, as such, summarization of such reports is a task in line with recent work advocating for ways in which Natural Language Processing (NLP) can help climate scientists and policy-makers and make a positive impact (Stede and Patz, 2021).

When dealing with such information-dense documents, however, simple summarization might be too limiting, as the end user might need a summary with respect to a specific topic. Summarizing a text with respect to a specific aspect or topic is known as Aspect-Based Summarization (ABS) and it has a long history in NLP (Titov and McDonald, 2008).

Recently, the landscape of NLP has seen a revolution happening in the form of Large Language Models (LLMs), which are capable of performing many tasks without training, therefore being particularly useful in under-resourced domains like the one of climate change reports (Ziyu et al., 2023). These models, however, comprise billions of parameters, and, as such, their carbon footprint is one of the main factors leading to criticisms of their use (Faiz et al., 2024), while relatively smaller LLMs, labeled as Small Language Models (SLMs), have started gaining traction in the literature (Ranaldi and Freitas, 2024). In this work, then, we show that LLMs and SLMs can be successfully applied to the task of ABS in the context of Climate Change reports.

The main questions informing our work are:

Q1: Can LLMs and SLMs successfully perform ABS of Climate Change reports and how do they compare to other unsupervised alternatives?

Q2: are SLMs comparable in performance to larger LLMs for our task?

Q3: how do our models' performance deteriorate in the absence of ground truth paragraphs to summarize?

Our main contributions then are:

1) We evaluate LLMs and SLMs in the context of ABS for Climate Change reports with ground truth paragraphs and within a RAG setting, and we introduce a new dataset for this task.

2) We focus on energy efficiency and we adapt an existing framework for energy-aware summarization evaluation to LLMs and SLMs for the first time, showing how the latter can perform similarly to the first for the task at hand and lead to massive energy saving.

¹Find dataset at: https://huggingface.co/datasets/ ighina/SumIPCC And code at: https://github.com/ Ighina/LLMClimate2024

2 Related Work

2.1 NLP and Climate Change

NLP can help with a variety of problems related to Climate Change including but not limited to: climate stance detection (Fraile-Hernandez and Peñas, 2024), climate-related question answering (Vaghefi et al., 2023; Biester et al., 2022) and automatic fact-checking (Meddeb et al., 2022; Mazid and Zarnaz, 2022). NLP can also improve access to information, which can be used for educational or policy-making purposes (Stede and Patz, 2021).

Our contribution, then, points in this direction and it builds on previous work to assess a new task in the area, namely that of ABS. Previous work, in fact, has drawn from data similar to the one we use in order to create a chatbot that can answer questions related to climate change with access to the most up-to-date information (Vaghefi et al., 2023). As new reports and new knowledge get produced at a fast pace, however, the need to assess the zero-shot ability of LLMs to summarize such reports in an efficient and fine-grained way is crucial to further help their reading from both policy-makers and researchers. No research in this direction exists in our knowledge and our work aims to fill this gap.

2.2 Aspect-Based Summarization

ABS is the task of summarizing a given text with respect to a specific aspect or topic (Titov and Mc-Donald, 2008). The task is particularly useful in aiding the reading of complex, multi-topic content such as news bulletins (Frermann and Klementiev, 2019) or Wikipedia articles (Hayashi et al., 2021).

In the context of ABS, the models developed for the task falls broadly in the category of supervised (Tan et al., 2020; Ma et al., 2022; Ahuja et al., 2022) and unsupervised models (Soleimani et al., 2022; Coavoux et al., 2019), where the firsts have shown improvements over the latter, but do need a sufficient number of training samples, for which there is a scarcity of data, especially in certain domains (Yang et al., 2023). More recently, modern LLMs have shown performance on par with previous supervised models also in unsupervised (i.e. zero-shot) setting for various NLP tasks (Ziyu et al., 2023) including summarization (Zhang et al., 2024). Such models are mostly under-explored in the context of ABS, as just isolated examples of their use for the task exist in the literature, which does not present comparisons between LLMs and SLMs and is limited to hotel reviews summarization (Jeong and Lee, 2024; Bhaskar et al., 2023).

2.3 SLMs and Efficiency Evaluation

Modern LLMs are extremely effective for a variety of tasks, but they comprise billions of parameters, leading to consideration of efficiency and environmental externalities associated with their use (Tokayev, 2023). These concerns have led to consider the overall environmental cost of such models when deploying them (Faiz et al., 2024).

At the same time, in the last year much effort has been spent in making the LLM landscape more efficient (Wan et al., 2024), either by proposing SLMs, yielding comparable results to LLMs thanks to refined datasets and knowledge distillation (Abdin et al., 2024; Team et al., 2024; Gu et al., 2024), or by exploring different types of quantization which can diminish the computational burden while maintaining a good trade-off with performance (Yao et al., 2024) or both.

Recent literature has proposed to include models' efficiency in evaluating summarization (Moro et al., 2023), but without including LLMs in their experiments. Much NLP literature has often ignored considerations about model efficiency, but as the models get bigger and the marginal improvements get smaller, including model efficiency in the evaluation is important for more sustainable and, ultimately, more usable NLP systems.

In this work, then, we draw also on literature on SLMs and efficiency evaluation in developing our experiments and then assessing them.

3 Methodology

3.1 Zero-Shot Aspect-Based Summarization with LLMs

In order to perform ABS with out-of-the-box LLMs and SLMs, we developed a simple prompt template which is presented to each model for a fair comparison. The prompt template T has the following format:

T="Summarize the main takeaways from the following text with respect to topic {topic}. Text: {text}"

We define the substitution function sub, which takes as inputs the template T, topic and text and substitutes {topic} and {text} in T with topic and text, respectively, thus obtaining:

$$prompt = sub(T, topic, text) \tag{1}$$

As we will see below, at times more than one paragraph needs to be summarized. Defining the collection of paragraphs to be summarized $P = \{p_1, ..., p_n\}$, where p_i are the individual paragraphs, we obtain:

$$text = \begin{cases} P, |P| = 1\\ concat(P), |P| > 1 \end{cases}$$

$$(2)$$

where concat indicates the concatenation of all the paragraphs in P.

The generation process, then, is done as:

$$\hat{y} = LLM(prompt) \tag{3}$$

Where LLM is the LLM currently used and \hat{y} is the generated summary.

In many cases, there is also a limitation in the number of maximum tokens that some of the models can accept and especially in the case of many paragraphs p to be summarized the length of the input text might exceed this limit. We have tackled these instances by applying an iterative procedure where we summarize individual paragraphs and then we ask the given LLM to summarize the concatenation of the summaries.

We formally define this procedure in Appendix C, together with the implications on the performance of such cases.

3.2 Retrieval Augmented Generation

To answer Q3 and test the limits of our approach, we also investigate Retrieval Augmented Generation (RAG), where we automatically retrieve the k most relevant paragraphs from the given climate report and we use them as input for the LLM, instead of the ground truth paragraphs. This setting relates to the real-world use case in which, e.g., a policy-maker wants an automatic system to both find the relevant information in the report and summarize it. Formally, we define an encoder model *enc* such that it encodes all the reports' paragraphs p_i as:

$$e_i = enc(p_i), e_i \in \Re^d \tag{4}$$

with d being the dimensionality of the embeddings from the given encoder *enc*. At inference time, the given aspect or topic *topic* is encoded in the same embeddings space as:

$$q = enc(topic), q \in \Re^d \tag{5}$$

At this point, we define a number k of paragraphs that we want to retrieve from the collection of all paragraph indices $P_{ind} = \{1, ..., N\}$ and we retrieve the subset of paragraph indices $P_{sub} \subset P$ as:

$$P_{sub} = argmax_{i \in P_{ind}}(cos(q, e_i)), s.t. |P_{sub}| = k$$
(6)

where cos represents the cosine distance between the query embedding q and the given paragraph embedding e_i .

Having obtained the paragraphs associated with their indices in P_{sub} , we then obtain text as described in equation 2. The final summary \hat{y} is then obtained as:

$$\hat{y} = LLM(prompt_{rag}) \tag{7}$$

where $prompt_{rag}$ is obtained either with equation 1 or with equations 13 and 14 according to whether *text* is longer than the character threshold as explained above.

3.3 Extractive Summarization Baseline

To compare the performance of LLMs with a nongenerative baseline, we develop a simple extractive approach, based on the understanding of the task as a question-answering task. For each example, we again define an encoder *enc* and we follow equation 5 to obtain a query embedding q. Having obtained *text* in one of the ways previously defined, we then divide it into sentences with the method by Kiss and Strunk (2006) and group them as S = $\{s_1, ..., s_n\}$ with n being the number of sentences in *text*. Each sentence s_i is then encoded as:

$$e_s^i = enc(s_i), e_s^i \in \Re^d \tag{8}$$

We define a number k of sentences to be extracted and the collection of all sentence indices in the document $S_{ind} = \{1, ..., n\}$ and we obtain its subset $S_{sub} \subset S_{ind}$ as:

$$S_{sub} = argmax_{i \in S_{ind}}(cos(q, e_s^i)), s.t.|S_{sub}| = k$$
(9)

The final summary is obtained by concatenating the sentences associated with such indices, that is:

$$\hat{y} = concat(s_i) \forall i \in S_{sub} \tag{10}$$

3.4 Evaluation

3.4.1 Aspect-Based Summarization Evaluation

Following recent research in the field of summarization evaluation, we use the ChatGPT-RTS (Shen et al., 2023) for evaluation. This metric uses the powerful ChatGPT LLM (i.e. GPT 3.5) as an evaluator, by framing the evaluation task as a question concerning the property of the summaries with respect to 4 key attributes individuated by Hayashi et al. (2021): coherence, consistency, fluency, and relevance. For each reference summary, paragraphs, and topic triplet, ChatGPT is given the definition of the dimension to evaluate as well as the triplet and asked to output a score from 1 to 5, together with an explanation for such a decision. We introduced a key modification to the relevance definition in the prompt to include the target topic so that, with minimal modification, the final score also takes into consideration the target aspect. In appendix A we illustrate in more detail the prompts fed to ChatGPT for performing the evaluation, as well as the correlation with human judgment and comparison with other metrics.

3.4.2 Retrieval Evaluation

To assess how successful different encoders are in retrieving the correct paragraphs in the RAG setting, we use the Mean Reciprocal Rank (MRR) metric, an information retrieval metric that considers how high in a ranked list the retriever can place the correct item (in our case the correct paragraph) (Radev et al., 2002).

In our case, we set the hyperparameter of MRR to 10, meaning that we consider the first 10 items as scored by the retriever as the limit beyond which we consider the retriever to have failed (leading to MRR@10 equals 0).

3.5 Energy Consumption and Efficiency Re-Weighting

The Carburacy method was proposed to account for efficiency in summarization evaluation, by reweighting the ROUGE metric for summarization with the cost for running the model C = E * D, where E is the cost of a single example measured as the kg of CO_2 emitted by summarization models and D is the dataset size (Moro et al., 2023). The re-weighting formula is then applied as:

$$\gamma = \frac{e^{\log_{\alpha} R}}{1 + C * \beta} \tag{11}$$

with R being the effectiveness score (i.e. the initial summarization metric) and $\alpha = 10$ and $\beta = 100$ following the original work. The authors further divided the costs in inference and training costs, but in our unsupervised setting just the first applies.

Feature	AR5	AR6	All
Summaries	70	70	140
Paragraphs	34	38	72
Summary Topics	63	70	133
Summary Section Headers	4	3	7
Summary Sub-Section Headers	17	18	35
Paragraphs Section Headers	34	38	72

Table 1: Statistics of our IPCC-Sum dataset. For all features, we report the number of unique occurrences for the different subsets (AR5 and AR6), as well as for the whole dataset. It can be noticed how many topics are repeated in different summaries.

In applying the Carburacy re-weighting scheme to our context we took into account the fact that LLMs can lead to very different outcomes in terms of summaries length and this has an effect on the cost C as longer sequences will lead to higher consumption in the auto-regressive setting of decoderonly modern LLMs. In our case, we want to isolate the cost of each LLM as a function solely of its architecture, rather than of its output. Therefore, we compute equation 11 by setting D = 1 and Esuch that:

$$E = Emission(LLM_{stop:k}(prompt_{fix})) \quad (12)$$

Where $prompt_{fix}$ is a fixed prompt for each system and Emission is the function computing CO_2 emissions. The key of the above modification is represented by $LLM_{stop:k}$ which we define as a constrained generation from the given system, where the generation stops automatically at a token number k which we set to 10. This way, each LLM receive a prompt of same input and output a samelength output, and by keeping these factors constant we assure to measure just differences in emissions caused by structural differences between LLMs (e.g. number of parameters).

When applying Carburacy to the extractive baselines and to the RAG models, instead, we simply apply equation 11 with the cost of encoding $prompt_{fix}$ in the first case and with the cost of encoding the entire dataset D in the latter. In the retrieval experiments, we empirically set $\beta = 10000$ to account for the difference in emission scale.

We measure CO_2 levels with the codecarbon python library², leveraging CPU as well as GPU energy consumption.

4 Data

For the purpose of this work, we have collected and released the SumIPCC dataset, comprising 140

²https://codecarbon.io/

topic-annotated summaries and relative paragraphs from climate change reports. We used two reports from the authoritative Intergovernmental Panel on Climate Change (IPCC) as a data source. The reports we used are the synthesis reports AR5 (IPCC, 2014b) and AR6 (IPCC, 2023b) for two separate years, 2014 and 2023, which collected the contributions of different working groups on a variety of topics related to climate change and linked policies. The two reports were chosen among the IPCC synthesis report collections as they both include accompanying publications named Summary for Policy-Makers (IPCC, 2014a, 2023a), which include short summaries related to specific topics and referring to paragraphs in the respective synthesis reports. Each summary includes the main highlights with regard to a specific topic as discussed in the report and it might refer to multiple paragraphs in the original report, in case the specific topic is treated in different parts of the report.

On occasions, we observed summaries that were too broad in scope, referring to many different long paragraphs, but comprising just a few lines on a broad topic: we filtered out these cases. The final result is a dataset comprising 140 paragraphsummary pairs with associated topics, which we manually annotated to be as precise as possible. Paragraphs and section headers from the Summary for Policy-Makers could also have been used to annotate the summaries, but they were ambiguous as they grouped different summaries; they are also included as features in the dataset, even though we don't explore their use in this work. As we will see, however, there are a number of summaries sharing the same topic but in different contexts and future work might include additional information to better disambiguate these cases, especially in the RAG context. Table 1 shows the features from the collected dataset and their occurrences, while Appendix E includes additional information.

5 Experimental Setup

5.1 LLMs and Extractive Baselines

We compare recent and popular LLMs: 9 opensource SLMs and 2 big, proprietary LLMs. For the SLMs, there is no single definition of how small a model should be to be considered such, therefore we impose a hardware constraint to choose the models, namely to be able to fit in a single NVIDIA® Tesla T4 GPU with 16GB of memory: to achieve this, we have then selected models up to

Model	Billions of Parameters	C	
Qwen 0.5B	0.5	4.06e-05	
Qwen 1.8B	1.8	4.19e-05	
Qwen 4B	4	5.28e-05	
Qwen 7B	7	5.63e-05	
Gemma 2B	2	4.41e-05	
Gemma 7B	7	6.41e-05	
Phi 3	3.8	5.30e-05	
Llama 3	8	6.20e-05	
Mistral	7	6.03e-05	
ChatGPT	~ 175	$\sim 3.86e-03$	
GPT4	~ 175	$\sim 3.86e-03$	
MPNet	0.11	1.65e-07	

Table 2: Number of parameters and estimated energy cost C for the ABS models. In every case, we used the conventional abbreviated notation, e.g., e-05 to signify a multiplier of 10^{-5} for the given value. Model size does not perfectly correlate with energy consumption, as different architectures might have different efficiency.

8 billion parameters, while using 4-bit quantization on all the models from this category; the effect of the quantization has been shown to be negligible in most cases (Yao et al., 2024). The SLMs we used are: Qwen 1.5 (Qwen) 0.5B, 1.8B, 4B and 7B (Bai et al., 2023), Gemma 1.1 (Gemma) 2B and 7B (Team et al., 2024), Phi 3 (Abdin et al., 2024), Llama 3 8B (Llama 3) (Meta, 2024) and Mistral v0.2 7B (Mistral) (Jiang et al., 2023). In every case, we have used the instruction-tuned versions of the models: we give additional details about the models' source and run time in Appendix F.

To compare the performance of SLMs with bigger LLMs, we compare them with the state-of-theart GPT4 (OpenAI et al., 2024) and its earlier version, ChatGPT (Brown et al., 2020); no public information about the quantization settings nor the model size exist for the two models, but table 2 includes estimates on size and energy $\cot C$ for these models together with the actual models size and cost for the small-sized LLMs. We computed C as per equation 12, while we report a rough estimate of the sizes of GPT4 and ChatGPT by equating them to the size of the related model GPT3 (Brown et al., 2020) and we estimated their $\cot C$ by multiplying the cost of Gemma 2B for the module of the respective model parameters; this is indeed a very rough estimate, but it should give a good approximation of the scale of difference between small-sized LLMs and bigger, state-of-the-art ones. Finally, for the extractive baselines we have used the all-mpnet-base-v2 (MPNet) model, further described in the next section. Also for this models, we include the energy $\cot C$ in table 2.

Model	Billions of Parameters	C	
DistilRoB	0.08	4.06e-05	
MPNet	0.11	4.19e-05	
MiniLM	0.2	4.42e-10	
GTR	1.2	5.63e-05	
ST5	1.2	4.41e-05	
GTE	0.44	6.41e-05	

Table 3: Number of parameters and estimated energy cost C for the text encoders used as zero-shot retrievers in our RAG experiments.

5.2 Retrieval and Extractive Models

To choose the zero-shot text retrieval models for the RAG experiments, we have mostly drawn from the top open-source systems from the MTEB benchmarks evaluating out-of-the-box text embedding systems (Muennighoff et al., 2023). At the same time, we have included the same hardware constraints explained in section 5.1 to limit our choice to relatively small-sized encoders. The final models we used in the RAG setting, then, are: all-mpnetbase-v2 (MPNet), an encoder based on the MPNet architecture (Song et al., 2020) and on the sentence transformers framework (Reimers and Gurevych, 2019) to be highly performative in a variety of sentence encoding tasks, all-distilroberta-v1 (DistilRoB), a distilled version of RoBERTa (Liu et al., 2019) trained similarly to MPNet, all-MiniLM-L12-v2 (MiniLM), a small and extremely efficient transformer encoder (Gu et al., 2024) further finetuned similarly to MPNet, gtr-t5-xl (GTR) (Ni et al., 2022b) and sentence-t5-xl (ST5) (Ni et al., 2022a), two sentence encoders both based on the encoder part of the T5 architecture (Raffel et al., 2020) but fine-tuned on different datasets for text retrieval, and gte-large-en-v1.5 (GTE) (Li et al., 2023), a transformer encoder trained with multi-stage contrastive learning.

Table 3 shows the number of parameters for this set of models, together with the energy cost C computed as described in the methodology section.

6 Experiments

6.1 SLMs Evaluation

Table 5 shows the results obtained by running and comparing to reference summaries our SLMs and baselines over the SumIPCC dataset with the ground truth paragraphs for each reference summary (i.e. without RAG). The results clearly highlight a very good performance on behalf of most SLMs and LLMs, whereas the extractive baselines show inferior performance for all the given evalu-



Figure 1: Pearsons' correlation between the metrics' aspects and energy consumption.

ation dimensions; such a difference is statistically significant $(p < 0.05)^3$ and it confirms the superiority of LLMs of any size to the simple extractive models (Q1). It is interesting to notice, however, that the performance of the extractive method is generally good in absolute terms for the relevance and consistency dimensions, highlighting the style of this dataset, where many exact lines from the target paragraphs are present in the reference summaries (see appendix A and appendix E).

When comparing SLMs with the LLMs baselines, we can observe some striking results in that the ChatGPT baseline appears to be the bestperforming system overall, even more so than the superior GPT4 baseline. This apparently counterintuitive result can, however, be explained by three factors: first, as the metric we use is based on ChatGPT itself it might show a bias in favor of the model, as observed in previous studies (Panickssery et al., 2024), second, the reliability of the metric in the context of high-quality summaries is generally lower (Shen et al., 2023), and third, ChatGPT is not significantly better than GPT4 in any evaluation dimension. These points also apply to most SLMs. More recent and relatively more powerful SLMs like Llama 3, in fact, appear to be worse than other models like ChatGPT itself, but ultimately the difference is statistically insignificant, rather indicating that most SLMs and LLMs perform similarly in our context. SLMs, then, can be as effective as larger LLMs for our task (Q2).

Moreover, figure 1 shows how the energy consumption shows a weak, but relevant correlation with LLMs performance on each dimension. A key driver of this correlation is the poor performance of Qwen 0.5B, suggesting that there is a

³A two sample T-test was performed to determine significance, with the best results (i.e. ChatGPT) serving as the control group for comparison.

Model	Consistency ↑	Coherence ↑	Fluency ↑	Relevance ↑	Average ↑
Qwen 0.5B	4.52*	4.33*	4.41*	4.06*	4.33*
Qwen 1.8B	4.89	4.83	4.88	4.79	4.85
Qwen 4B	4.75*	4.84	4.91	4.56*	4.77
Qwen 7B	4.84	4.94	4.9	4.74	4.86
Gemma 2B	4.86	4.86	4.96	4.71	4.85
Gemma 7B	4.85	4.94	4.99	4.81	4.9
Phi 3	4.84	4.92	4.94	4.74	4.86
Llama 3	4.82	4.84	4.91	4.74	4.83
Mistral	4.78*	4.84	4.95	4.6	4.79
ChatGPT	4.94	4.96	4.98	4.79	4.91
GPT4	4.83	4.89	4.96	4.81	4.89
MPNet	4.44*	3.03*	3.45*	4.15*	3.77*

Table 4: Summarization results for all dimensions obtained by evaluating our models with the ChatGPT-RTS metric. Asterisks indicate that the results are significantly worse than the best model (i.e. ChatGPT).



Figure 2: ChatGPT RTS Average scores re-weighted via Carburacy.

threshold under which model size severely impacts the capacity of SLMs to perform this task. The updated ranking of models in figure 2 using the Carburacy technique, however, shows how on certain occasions, notably that of Qwen 1.8B, very small SLMs can perform similarly to larger ones. The re-ranking confirms once more that most SLMs perform similarly, and that are generally better than very small LLMs (Qwen 0.5B) and then the extractive baseline. It follows, that ChatGPT and GPT4 are actually the worst models when considering the efficiency/effectiveness trade-off because the increase in energy consumption is not justified by a relevant increase in the models' performance.

6.2 RAG Evaluation

Figure 3 shows the results of using different retrieval models on the two subsets of our dataset, separately. It can be seen how also in this case most models perform similarly and, applying the Carburacy method to re-weight the MRR@10 score, this



Figure 3: Retrieval results in terms of MRR@10 metric re-weighted via the Carburacy method.

leads to comparatively smaller models being the best choice to perform the retrieval in our context.

Having identified the best retrieval models for both subsets of our dataset, we employ them to retrieve the top 2 paragraphs for each query and then we employ the method described in section 3.2 to generate the summaries. In this case, we have used just the best models for each family, as indicated by results in table 5. It is interesting to notice how this time the results from different models are more spread, highlighting more significant differences individuated by our metric in this more challenging scenario. This is in line with what was previously observed for the same metric, as using ChatGPT to evaluate ABS has been shown to be more accurate and more confident about its own decision when the difference in the quality of the generated summaries is substantial (Shen et al., 2023). The fact of using two paragraphs that might not be the correct ones as input to be summarized according to a specific topic, in fact, seems to have an effect on all dimensions, not only on the relevance one (which

Model	Consistency ↑	Coherence \uparrow	Fluency ↑	Relevance ↑	Average ↑
Qwen 1.8B	3.66	4.36	4.24	3.11	3.84
Gemma 2B	3.21*	3.81*	3.67*	3.21	3.48*
Phi 3	3.32*	3.82*	3.74*	3.23	3.53*
Llama 3	3.76	4.27	4.44	3.26	3.93
Mistral	3.02*	3.61*	3.56*	3.02	3.30*
ChatGPT	3.24*	3.81*	3.52*	2.96	3.38*
MPNet	2.68*	2.39*	2.5*	2.36*	2.48*

Table 5: Summarization results for all dimensions obtained by evaluating our models with the ChatGPT-RTS metric on the retrieved passages. Asterisks indicate results that are significantly worse than the best model (i.e. Llama 3).



Figure 4: ChatGPT RTS Average scores for the RAG experiment re-weighted via the Carburacy method.

presents the biggest overall drop in performance, as it could have been expected). This evidence suggests that our task in a RAG setting is indeed a more challenging task, which requires further investigation both in terms of the retrieval model being used and in terms of the summarization model. Different LLMs, in fact, appear to be more capable of dealing with heterogeneous information and filter out irrelevant information, while maintaining good coherence, fluency, and consistency with the input paragraphs (more qualitative examples under this respect are presented in D). Because of this, in this context the choice of the model appears to be relevant, with Llama 3 performing significantly better than most other models, in line with the models' performance on existing benchmarks (Meta, 2024). Interestingly it can be seen how the much smaller Qwen 1.8B, however, performs similarly to Llama 3 and this leads to the model being ranked as good as the latter in the re-weighted results using Carburacy, shown in figure 4. This last evidence shows once more that smaller LLMs can perform as well as bigger ones in our context and this might be because of a variety of reasons including training data, stochasticity, and prompt preferences: the inclusion of efficiency in the evaluation framework allowed to identify models with a smaller energycost, while leading to a drop in performance which is minimal or even not significant.

7 Conclusion and Future Directions

In this work, we have investigated the use of LLMs and SLMs for ABS in the context of climate change reports, showing how the task can be virtually solved by such models when considering ground truth paragraphs. Apart from the task itself, which has a variety of uses in policy-making and education, our aim was also that of evaluating whether smaller, more efficient LLMs (i.e. SLMs) can lead to comparable results to bigger one in a task in which LLMs are extremely capable. The results indeed confirmed that SLMs are a valid alternative to bigger LLMs, especially in the easier scenario in which ground truth paragraphs were provided.

When we turned to the RAG scenario, instead, it could be seen that the task at hand became more challenging, while the difference in the models we used appeared to be more significant. Also in this case, however, the smallest model performed comparably with the best-performing one and, even though this might be due to various things not reflecting a more general equivalence, the evidence suggests, at least, that smaller models can be a valid alternative also in more challenging cases.

Finally, we release our dataset and this can lead to many interesting research directions. Specifically, future research could explore the RAG setting further by incorporating more fine-grained information during retrieval (e.g. section and/or paragraph titles, which are included in the dataset) and finetune SLMs on the small available data to test the ability of such models to learn from small data. We leave these directions open for future research.

8 Limitations

Our work deals with the use of SLMs for ABS and has shown that they often perform similarly to larger LLMs in our context. Given the specific domain of application (i.e. climate change reports), however, we are limited to a small size dataset, which in turn increases results' variability. Another limitation of our work involve the evaluation metric, which includes a number of problems such as having around 80% agreement with human judgement, as shown in appendix A: this value is relatively high for summarization metrics, but it is still low enough to represent a significant limitation in terms of how much we can trust the metric itself in certain cases. Other evaluation limitations include the fact that our metric has been shown to correlate less with human judgement when dealing with high-performing systems (which is our case in the first experiment using ground truth paragraphs) and the already noticed fact that the metric appears to be biased towards certain LLMs (i.e. ChatGPT).

Finally, there is initial evidence that the aspects we have evaluated for each sample in our dataset might be too broad. Future research might consider using the additional features we provided in the released dataset in order to better define the aspect on which the summarization models should focus.

9 Ethical Considerations

Using LLMs and SLMs to summarize climate change reports raises several ethical considerations:

1) Accuracy and Reliability. If inaccurate or misleading summaries are produced by LLMs, this could potentially misinform stakeholders and the public, leading to poor decision-making. Therefore, it is essential to have a human-in-the-loop approach in double-checking the produced summaries.

2) **Transparency and Accountability**. LLMs are black-box and therefore are not transparent nor accountable in terms of what output they produce. Notwithstanding the de-biasing and alignment with human preferences that the systems we used undertook, the reasons why such models produced certain summaries remain opaque.

3) Accessibility and Inclusivity. The use of LLMs require access to resources that might not be widely available in less developed countries and poorly funded institutions and, therefore, these could lead to problem of inclusivity and reduced access to our tool for policy-makers and educators from such background.

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A Metric Correlation with Human Judgement

Previous research has variously shown how summarization metrics are generally unreliable, yielding low correlation with human judgement; the use of ChatGPT in this context was observed to be the method yielding results more similar to the judgement expressed by human annotators, with correlation values around 0.50 (Shen et al., 2023). Still, our use case was slightly different from the one in the above work, as it deals with ABS rather than normal summarization and, given the specificity of our dataset (see appendix A) it also includes various snippets of texts directly copied from the main text in the reference summaries.

To assess the reliability of different metrics in this context and to choose which to report, we have asked two human annotators to rank 10 pairs of summaries generated by different LLMs and then we compared the results thus obtained with the ranking produced by different summarization metrics. Table 6 shows the percentage of matches between human annotators' rankings and the metrics obtained by recent metrics based on LLMs. It can be seen how ChatGPT RTS far outperforms the alternatives reaching very high agreement with the human annotators (close to 80%).

If we consider the agreement with traditional, similarity-based metrics depicted in figure 5, we can also observe how the the majority of traditional metrics generally agree with human annotators in this task at a level close to the one reached by ChatGPT RTS. This is indeed quite specific to the dataset we are considering as summaries are often presented as highlights reporting entire sentences from the source paragraph and, as LLMs are asked to generate highlights as well, rather than summaries, similarity-based metrics are actually quite good in this scenario. As traditional metrics lack a distinction between different dimensions of the generated summaries, however, we opted for ChatGPT RTS as the metric for our main experiments.



Figure 5: Average percentage of agreement between human annotators and similarity-based summarization metrics: standard deviation is also included in the form of error bars.

B Evaluation Prompts

In using the ChatGPT RTS, we have prompted ChatGPT with 4 different prompts per summary, to evaluate the different dimensions of the generated summaries. For what concerns consistency, coherence and fluency, we have adopted the same prompts from Shen et al. (2023). For what concerns relevance, we re-adapted the original formulation to make it fit for ABS, where we want our summary to be relevant with respect to a specific topic, in addition to the reference summary, where the original formulation did not include any topic nor reference summary.

We refer the reader to the original formulation in Shen et al. (2023) for the prompt used for consistency, coherence and fluency dimensions. For the relevance dimension, we show the prompt we used in figure 6.

C Effect of Long Inputs

In the methodology section, we highlighted how when using SLMs for summarization is usual to find instances in which input paragraphs are longer than the allowed token limits for the model. We have tackled these instances by applying an iterative procedure where we summarize individual paragraphs and then we ask the given LLM to summarize the concatenation of the summaries.

Formally, we set a character threshold over

Metric	Consistency	Coherence	Fluency	Relevance
ChatGPT RTS	0.77 ± 0.0	0.83 ± 0.06	0.66 ± 0.11	0.77 ± 0.0
ChatGPT MCQ	0.06 ± 0.06	0.55 ± 0.0	0.17 ± 0.06	0.44 ± 0.0
UniEval	55 ± 0.11	0.61 ± 0.06	0.33 ± 0.22	0.67 ± 0.0

Table 6: Average percentage of agreement between human annotators and LLM-based summarization metrics: standard deviation is also included.



Figure 6: The prompt used for evaluation with ChatGPT with the ChatGPT RTS evaluation method for the relevance aspect. At inference time {article} is substituted with the target paragraphs, {aspect} is substituted with the aspect on which the summarizer should focus, {reference_summary} is replaced with the reference summary and {summary} is replaced with the generated summary. All other dimensions have been evaluated with similar prompts, but without the need of {reference_summary} and {aspect} and substituting the description of the dimensions, as described in Shen et al. (2023).



Figure 7: Average comparison of performance across models in terms of ChatGPT RTS for instances longer (left) and shorter (right) than our fixed threshold (th).

which we get a set of interim results y_{int}^p :

$$y_{int}^p = LLM(sub(T, topic, p)) \forall p \in P \quad (13)$$

Then, having the collection Y_{int} of all y_{int}^p , we get the final text as:

$$text = concat(Y_{int}) \tag{14}$$

which can then be passed in equation 1 to obtain the final prompt to be passed in equation 3.

In order to ensure that such a process won't lead to drop in performance we have plotted the performance of instances in which the paragraphs are longer than the fixed character threshold that we have empirically set in our experiments and we compared them to the plotted performance of instances where paragraphs are shorter than the threshold. Figure 7 shows such comparison: as it can be noticed, the difference in performance shows longer inputs performing marginally worse due to the iterative procedure. Still, the difference is minimal suggesting that our method does not negatively affect performance and, as such, it is a feasible way to overcome models' context limits.

Prompt:

Summarize the main takeaways from the following text with respect to the topic: Technological Solutions Text: Technology development and transfer Technology policy complements ofter mitigation policies across all scales from international solutionality. Journal Solution International Interaction Integration of GHG mitigation is shart fetcher to complex policy textual bagending, advantance, Journal Solution Interaction Integration Interaction Integration Interaction Interaction Interaction government policy such as patient protection, the invention of new technologies and practices from RAD refers that aspects of a public go and thus terds to be under-provided by market forces allows. Technology support policies here promoted substratial involution and diffu-or new technologies, but the cost-effectiveness of such policies is often difficult to assess. Technology publicy can increase meetitives for and cultural constraints. Adaptation technologies are definition and allevady applicative development, the success of technology and cultural constraints. Adaptation technologies are definition and allevady applicative development, the success of technology and cultural constraints. Adaptation technologies are definition and allevady applicative of the substration and an adaptation entry of technologies and management practices. but the reflective use depends on a suitable institutional, regulatory and and cultural constraints. Adaptation technologies are definition and allevady application go public practices and the institutional regulatory environments and capacity adaptation environs. The substrational constrative development Advantation and and adaptation a

ChatGPT

The main takeaways from the text regarding the topic of technological solutions are: Investment in research for greenhouse gas (GHG) mitigation is relatively low compared to overall public research spending.
 Technology policy, which includes both technology-public and demand-pull approaches, is necessary to address market failur
promote the development and adoption or new technology compared to a provide public research spending.
 Technology support policies have shown success in promoting innovation and diffusion of new technologies; however, asses cost-effectiveness is challenging. sci-effectiveness is challenging. Technology policy can incertilize participation and compliance in international cooperative efforts in the long term. Adaptation efforts also rely on technology transfer, but their effectiveness depends on suitable institutional, regulatory, social, and Technology transfer involves not only providing finance and information, but also strengthening policy and regulatory enviro dibuilding capacities to absorb and improve technologies according to local circumstances.

Llama 3

Here are the main takeaways with respect to the topic of Technological Solutions

 "Technology policy complements other mitigation policies": Technology development and transfer are essential components of a comprehensive approach is mitigate greanhouse use emissions.
 Technology policy complements other mitigate policies in the second se concer and evaluate their impact in efforts rey on entrology transfer** Adaptation efforts rely on the afflusion and transfer of technologies and management on requires a suitable metatritonia, regulatory, social, and cultural content. depends on local content*** The success of technology transfer identification of the provider of finance and information reeignening policy and regulatory environments and capacities to absorb, employ, and improve technologies appropriate to anyone. Qwen 0.5B The text provides several takeaways about technological solutions: Technology policy complements other mitigation policies across all scales.
 Technology support policies promote substantial innovation and diffusion of new technologies 3 Technology policy can because increases incentives for participation and compliance with international.

Technology policy can increase incentives for participation and compliance with international cooperation efforts. Adaptation technologies are often familiar and already applied elsewhere, but the success of technology transfer by the provision of finance and information, but also strengthening of policy and regulatory environments and cap nploy, and improve technologies appropriate to local circumstances.

Overall, these takeaways suggest that technological solutions are essential for mitigating global climate change and promoting sustainable economic growth.

Reference

Technology policy, complements other mitigation policies across all scales, from international to sub-national; many adaptation efforts also critically rely on diffusion and transfer of technologies and management practices. Policies exist to address market failures in R&D, but the ve use of technologies can also depend on capacities to adopt technologies appropriate to local circumstances

Figure 8: An example of three summaries obtained using three LLMs: ChatGPT, Llama 3 and Qwen 0.5B. Prompt indicates the command given to the LLMs, including the text to be summarized and the target aspect. Reference indicates the reference human-generated summary. It can be seen how all models, even the smaller Qwen 0.5B, manage to produce sensible summaries, even though they do include extra information with respect to the reference summary (for which a more specific aspect formulation might be needed).

Qualitative Evaluation D

Figure 8 show an example of summaries generated for a given reference by different LLMs, together with the reference summary and the prompt used to obtain the summaries, including the target ground truth paragraph to be summarized. When ground truth target paragraphs are included, it can be seen that all LLMs give sensible answers which are comparable to each other. Some redundant information is included in all cases, but specifying the aspect more strictly is likely to solve that problem. When retrieved paragraphs are used in the RAG setting, instead, LLMs struggle to produce sensible results, as the discrepancy between the input (incorrect) paragraph and the aspect to be summarized tend to confuse the models, as highlighted in figure 9: this effect is stronger for weaker models as evident

from the significance of the results in table 5 and, looking picture 9, from the case of Mistral, which produced a summary which is relatively long and mostly unrelated to the target aspect.

Prompt

<text><text>

ChatGPT

Investment in research for GHG mitigation is small relative to overall public research spending. Technology policies can address market failure and promote innovation and diffusion of new technologies. The cost-effectiveness of technology support policies is often difficult to assess. Technology policy can increase incentives for participation and compliance with international efforts. The sociecess of technology transfer depends on suitable institutional, regulatory, social, and cultural contexts. Adaptation and mitigation response require effective institutions, invostment, and sustainable livelihoods. Innovation and investments in environmentally sound infrastructure and technologies can reduce emissions and enhance resilience.

Innovation and investments in environmentally sound intrastructure and technologies can reduce emissions and eminance re- Constraints to adaptation and mitigation include inertia in economic development, emissions, infrastructure, and technology.
 Vulnerability to climate change and mitigation capacity are influenced by livelihoods, behavior, and culture.
 Shifts towards more emergy-intersive filestyles controllate to higher energy consumption and GHG emissions.
 Adaptation and mitigation capacities are place-specific and there is no one-size-filts-ail approach.
 Developing nations have lower capacities for pursuing low-carbon, climate-realient development pathways.
 Enhancing institutions, coordination, and cooperation can help overcome regional constraints.
 New institutions and arrangements may be necessary for effective adaptation and mitigation.

Llama 3

The main tak ways from the text with respect to technological solutions are:

1. **Technology policy** is essential to promote innovation and diffusion of new technologies, but its cost-effectiveness can be 2. **Technology transfer** is critical for adaptation efforts, but its success depends on a suitable institutional, regulatory, social,

3. **Innovation and investments** in environmentally sound technologies and infrastructure can reduce greenhouse gas emissions and enhance ilience to climate change

4. **Enabling factors** for adaptation and mitigation responses include effective institutions and governance, innovation and investments in 4. "Enabling factors" for adaptation and mitigation responses include effective institutions and governance, innovation and investments in environmentally sound technologies and infrastructure, sustainable livelihoods, and behavioral and lifestyle choices.
5. "Constraints" to adaptation and mitigation responses include the inertia of global and regional trends in economic development, GHG emissions, resource consumption, infrastructure, and settlement patterns, as well as institutional behavior and technology.
6. "Vulnerability to dimate change" is influenced by livelihoods, illestyles, behavior, and can be reduced through changes in consumption patterns and illestyles.
7. "Crapacity building" is essential for developing nations with low income levels, which have limited financial, technological, and institutional capacities to pursue low-carbon, climate-resilient development pathways.

/....Capacity building¹ is essential to developing halons with owi income levels, which have initiate intancia, technologica, and instautional capacities to pursue low-carbon, climater-testilent development pathways.
8. "Institutional arrangements" that span multiple scales are necessary to implement effective adaptation and miligation options and overcome regional constraints associated with miligation, adaptation, and disaster risk reduction.

The text discusses the role of technology policy in addressing greenhouse gas (GHG) emissions and adapting to climate change. The text highlights that technology policy complements other mitigation policies and is essential due to market failures in the invention and diffusion of new technologies. The text also emphasizes the importance of innovation and investments in environmentally sound technologies and infrastructure to reduce GHG emissions and enhance resilience.

lext also mentions that adaptation efforts critically rely on technology transfer and the importance of a suitable institution, and cultural context for effective use. Common enabling factors for adaptation and mitigation include effective institu mance, innovation, and investments in environmentally sound technologies and infrastructure.

The text also mentions that vulnerability to climate change. GHG emissions, and the capacity for adaptation and mitigation are influenced by lifestyles, behavior, and culture. Shifts to yles, behavior, and culture. Shifts towards more energy-intensive lifestyles can contribute to higher energy and resource consumption, ng greater energy production and GHG emissions. In contrast, emissions can be substantially lowered through changes in consumption patterns

The text also mentions that developing nations have the lowest financial, technological, and institutional capacities to pursue low-carbon climate-estilent development pathways. Improving institutions and enhancing coordination and cooperation in governance can help ove regional constraints associated with mitigation, addisated in the risk reduction.

In summary, the text emphasizes the importance of technology policy in addressing GHG emissions and adapting to climate change, the role of •• commonly the text employees the importance or technologies and infrastructure, and the influence of lifestyles, behavior, and culture valuenability and adapting to climate change, the innovation and investments in environmentally sound technologies and infrastructure, and the influence of lifestyles, behavior, and culture valuenability and agacity for adaptation and mitigation. The text also highlights the importance of effective institutions and governance in overcoming regional constraints.

Figure 9: An example of three summaries obtained using three LLMs: ChatGPT, Llama 3 and Mistral (the weakest LLM among this set of experiments). Prompt indicates the command given to the LLMs, including the text to be summarized and the target aspect. The reference summary is depicted in figure 8.



Figure 10: Average word count in the reference summaries for the two subsets of our dataset.



Figure 11: Average word count in the target paragraphs for the two subsets of our dataset.

E Dataset Statistics

Here, we present more in depth statistics for our SumIPCC dataset which we release under MIT license. Specifically, we report average word counts in summaries (figure 10) and in target paragraphs (figure 11), more common words in the summaries' topics for AR5 (figure 12) and AR6 (figure 13) subsets and lexical overlaps between reference summaries and target paragraphs in terms of rouge-1, rouge-2 and rouge-1 (figure 14).

Overall, topics are similar between the two subsets and AR5 generally includes shorter paragraphs and shorter summaries than AR6. Also, it is evident by comparing figures 10 and 11 how the compression rate is quite high. Finally, figure 14 show how the lexical overlap between reference summaries and target paragraphs is also quite high reflecting the nature of the summaries often reflecting highlights rather than abstractive summaries.



Figure 12: Most common summary topics in the AR5 subset of our dataset.



Figure 13: Most common summary topics in the AR6 subset of our dataset.



Figure 14: Rouge-1, rouge-2 and rouge-1 scores of the reference summaries with respect to the target full paragraphs. These metrics represent the general overlap of the summaries with respect to the paragraphs, which is overall quite high in our case.

F Model Details

In our experiments we have used in all cases the pre-trained models as hosted on Huggingface Hub, but for ChatGPT and GPT4, for which we have used the official API.

Specifically, we report below the link for each of the open-source models we used:

- Qwen 0.5B: https://huggingface.co/ Qwen/Qwen1.5-0.5B-Chat
- Qwen 1.8B: https://huggingface.co/ Qwen/Qwen1.5-1.8B-Chat
- 3. Qwen 4B: https://huggingface.co/ Qwen/Qwen1.5-4B-Chat
- 4. Qwen 7B: https://huggingface.co/ Qwen/Qwen1.5-7B-Chat
- 5. Llama 3: https://huggingface.co/ meta-llama/Meta-Llama-3-8B
- Gemma 2B: https://huggingface.co/ google/gemma-1.1-2b-it
- 7. Gemma 7B: https://huggingface.co/ google/gemma-1.1-7b-it
- 8. Phi 3: https://huggingface.co/ microsoft/Phi-3-mini-128k-instruct
- 9. Mistral: https://huggingface.co/ mistralai/Mistral-7B-Instruct-v0.2

The models were all quantized in 4 bit with the bitandbytes python library⁴ and run on a single NVIDIA® T4 GPU⁵ with 16GB of RAM, as previously explained. All the models run between 2.5 and 10 hours, depending on model size and length of generated summaries: no sampling was applied for replicability.

Details of the GPT models we used are presented in table 7:

Model	Model Official Name	Revision
ChatGPT	gpt-35-turbo-16k	0613
GPT4	gpt-4	0125-Preview

Table 7: Details of the used GPT models.

Notice that throughout this work we have used the term ChatGPT to refer to GPT 3.5, consistently with previous literature (Shen et al., 2023): this naming is, however, erroneous as ChatGPT refers to the service rather than the underlying model.

⁴https://github.com/TimDettmers/bitsandbytes

⁵https://www.nvidia.com/en-us/data-center/tesla-t4/