Axiom Calibration for General Relativity (Paper 5): Portals, Profiles, and a Hybrid Plan for EPS and Schwarzschild

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October 2025

Abstract

We make Axiom Calibration (AxCal) the organizing principle for a foundations-first study of General Relativity (GR). The paper contributes three AxCal instruments for GR: (I) witness families pinned to a fixed Σ_0^{GR} signature; (II) proof-route flags and portal theorems that turn standard GR arguments into explicit frontier costs (Zorn \Rightarrow {AC}, Limit-Curve/Ascoli \Rightarrow {FT/WKL₀}, Serial-Chain \Rightarrow {DC $_{\omega}$ }, Reductio \Rightarrow {LEM}); and (III) HeightCertificates that compose costs across results. On this basis we calibrate five loci: G1 (explicit vacuum checks: mathematically Height 0), G2 (Cauchy/MGHD: PDE core vs. Zorn portal), G3 (singularity theorems: compactness and contradiction portals), G4 (maximal extensions: Zorn portal), and G5 (computable evolution: negative template after Pour–El–Richards).

Methodological stance. Our Lean 4 implementation uses mathlib, a classical library (ZFC). Accordingly, we position the artifact as a form of *Structural Certification*: Lean checks the AxCalbookkeeping, measuring the Strategic (Portal) Costs of GR arguments, while deep theorems may be imported as named axioms. We distinguish this from the Infrastructural Cost of the environment. For G1 (Schwarzschild vacuum), we establish a Mathematical Height of 0. The Lean formalization structurally certifies this claim by verifying the absence of portals, while executing the computation within the classical environment.

IMPORTANT DISCLAIMER

A Case Study: Using Multi-AI Agents to Tackle Formal Mathematics

This entire Lean 4 formalization project was produced by multi-AI agents working under human direction. All proofs, definitions, and mathematical structures in this repository were AI-generated. This represents a case study in using multi-AI agent systems to tackle complex formal mathematics problems with human guidance on project direction.

What is calibrated here (AxCal content). For each GR target we (a) define a witness family at the pin, (b) mark proof-route flags indicating which portals are used, and (c) emit a HeightCertificate with axiswise heights ($h_{\text{Choice}}, h_{\text{Comp}}, h_{\text{Logic}}$). Deep-dive deliverables (EPS; Schwarzschild) produce mathematically Height 0 certificates verified via structural certification in classical mathlib; imported heavy theorems are recorded as named axioms triggering portals and heights.

Contents

1 AxCal instrumentation for GR

	1.1 Pinned signature Σ_0^{GR}		2
	1.2 Tokens and witness families		3
	1.3 Proof-route flags and portals		3
	1.4 Height certificates and composition		3
	1.5 Scope of Calibration: Portals vs. Infrastructure	•	3
2	Literature anchors mapped to portals		4
3	Calibration targets (G1–G5) with AxCal profiles		4
4	Auxiliary lemmas (EPS; limit-curve) with sketches	,	5
5	Hybrid plan: structured framework + selective deep dives		6
	5.1 Sprint 3 Milestone: Schwarzschild Vacuum Solution	•	6
6	Calibration table (profiles at a glance)		8
7	Artifact Mapping: Paper Claims to Lean Implementation		8
	7.1 Core AxCal Infrastructure		8
	7.2 GR-Specific Components		8
	7.3 Calibration Targets (G1–G5)		9
	7.4 Deep-Dive Deliverables (Height 0 Anchors)		9
	7.5 Portal Theorems		9
	7.7 Verification Ledger		9
8	Conclusion	1	0
Δ	Portals and Proof–Route Flags: Soundness	1	n
•	A.1 Route flags and their semantics		
	A.2 Zorn's lemma portal (Choice axis)		
	A.3 Limit-curve portal (Compactness axis)		
	A.4 Serial-chain portal (Dependent Choice axis)		
	A.5 Reductio portal (Logic axis)		
	A.6 Portal soundness summary	. 1	2
В	AxCal-Lean Ledger	1	
	B.1 Axis tokens and portal axioms		
	B.2 Witness families for G1–G5		
	B.3 Height certificates (profiles and routes)		
	B.5 File map (proposed layout)		
	B.6 Ledger policy		

1 AxCal instrumentation for GR

1.1 Pinned signature Σ_0^{GR}

We fix the smooth category (second-countable, Hausdorff manifolds), tensor fields, Lorentzian metrics, Levi–Civita connection, curvature and Einstein tensors, EFE, and pinned exemplars (Minkowski; a Schwarzschild-type vacuum metric). Interpretations must fix Σ_0^{GR} .

1.2 Tokens and witness families

For foundations $F \in \mathsf{Found}$, we use tokens

```
[\operatorname{HasAC} F], [\operatorname{HasDC}_{\omega} F], [\operatorname{HasFT} F], [\operatorname{HasWKL}_0 F], [\operatorname{HasLEM} F], [\operatorname{HasWLPO} F].
```

A witness family W assigns to F a groupoid of witnesses for the target statement over the pin.

1.3 Proof-route flags and portals

We make explicit route flags that, when present in a proof, trigger an AxCal portal:

- uses_zorn: applies Zorn on a Σ_0 -definable poset of extensions \Rightarrow Zorn portal (requiring AC, thus $\partial^+ \supseteq \{AC\}$).
- uses_limit_curve: invokes Ascoli-Arzelà / compactness of causal curves \Rightarrow Compactness portal (requiring FT constructively or WKL₀ classically, thus $\partial^+ \supseteq \{FT/WKL_0\}$).
- uses_serial_chain: builds an infinite dependent chain (e.g. curve prolongation) \Rightarrow Dependent-Choice portal (requiring \mathbf{DC}_{ω} , thus $\partial^+ \supseteq \{\mathrm{DC}_{\omega}\}$).
- uses_reductio: essential proof by contradiction on Σ_0 data $\Rightarrow LEM$ portal (requiring LEM, thus $\partial^+ \supseteq \{\text{LEM}\}$).

Proposition 1.1 (Portal soundness). If a proof of a Σ_0^{GR} -pinned statement uses a flagged route, the corresponding token is necessary along that route: $Zorn \Rightarrow HasAC$; $Limit-Curve \Rightarrow HasFT/HasWKL_0$ (depending on constructive/classical base); $Serial-Chain \Rightarrow HasDC\omega$; $Reductio \Rightarrow HasLEM$.

Sketch. These are standard meta-implications: Zorn is equivalent to AC over ZF; Ascoli-type compactness aligns with FT constructively (and with WKL₀ classically); building infinite dependent sequences is a canonical use of DC_{ω}; essential reductio uses LEM. The novelty is the *proof-route* tagging that transports these meta-results to the Σ_0^{GR} pin. See Appendix A for detailed arguments.

1.4 Height certificates and composition

Given portals triggered for a witness family W, we record a HeightCertificate with $(h_{\text{Choice}}, h_{\text{Comp}}, h_{\text{Logic}}) \in \{0, 1, \omega\}^3$. Products of claims compose componentwise by the AxCal product law (Paper 3A).

1.5 Scope of Calibration: Portals vs. Infrastructure

Our hybrid implementation approach, utilizing the classical mathlib, requires a clear distinction regarding the scope of the AxCal measurements.

Definition 1.2 (Axiomatic Cost Scopes). We distinguish between:

- Infrastructural Cost: The foundational axioms assumed by the formalization environment (e.g., classical logic within mathlib's definitions of real numbers and calculus).
- Strategic (Portal) Cost: The axioms required by the high-level mathematical arguments specific to the GR proofs, tracked via the portals defined in Section 1.3.

The AxCal framework, as deployed in this paper via **Structural Certification**, measures the **Strategic (Portal) Cost**. We refer to this measurement as the **Mathematical Height**.

Remark 1.3 (Interpretation of Height 0). A Height 0 certificate (profile (0,0,0)) signifies that the proof route does not pass through any high-level portals. It acknowledges the mathematical constructivity of the argument structure, even if the formal artifact relies on a classical infrastructure (Infrastructural Cost) to verify the correctness of the individual steps.

2 Literature anchors mapped to portals

Robb and Reichenbach provide axiomatic scaffolding for kinematics; EPS derives Lorentz classes from light and free-fall [1, 2, 3] (no Zorn; compactness may enter via curve families \Rightarrow Compactness portal when maximizers are extracted). Pour–El–Richards show computable well-posed PDEs can yield non-computable evolutions [4] (Logic/Computability axis). Bishop–Bridges and Hellman/Bridges guide which analytic steps are Height 0 and which align with choice or LEM [5, 6, 7]. Wald, Hawking–Ellis, and Choquet–Bruhat are used to *locate* where standard GR proofs instantiate portals [8, 9, 10].

3 Calibration targets (G1–G5) with AxCal profiles

G1. Explicit vacuum checks (Mathematical Height 0)

Definition 3.1 (G1 witness). C^{G1} : the pinned Schwarzschild-type metric satisfies vacuum EFE at the pin.

Proposition 3.2 (G1 profile). The Mathematical Height (Strategic Cost) is $(h_{\text{Choice}}, h_{\text{Comp}}, h_{\text{Logic}}) = (0, 0, 0)$.

Sketch and Certification Status. The proof involves finite symbolic computation of $\Gamma^{\alpha}_{\mu\nu}$, $R_{\mu\nu}$, and $G_{\mu\nu}$ (cf. [8, §B.4]). This process is inherently constructive and does not trigger any high-level portals.

Certification Status: Our Lean artifact provides Structural Certification for this (0,0,0) profile by verifying the absence of portals in the proof route. As noted in Section 1.5, while the implementation (Deep Dive D2) utilizes the classical infrastructure of mathlib (Infrastructural Cost), the AxCal framework correctly certifies that the Strategic Cost is zero.

G2. Cauchy problem (local well-posedness and MGHD)

Definition 3.3 (G2 witness). C^{G2} : local well-posedness for EFE and existence/uniqueness of MGHD from data (Σ, h, K) .

Proposition 3.4 (G2 profile (route-separated)). The calibration splits:

• Local PDE: In standard separable settings (harmonic gauge, energy estimates), the profile is typically (0,0,0). It may rise to (1,0,0) if the analysis requires selecting sequences of approximants without explicit witnesses (via AC_{ω}).

• MGHD: The standard maximality step has uses_zorn, resulting in a profile $(h_{\text{Choice}}, h_{\text{Comp}}, h_{\text{Logic}}) \ge (1,0,0)$ for the global statement.

Sketch. Local existence follows Choquet–Bruhat's PDE machinery [10], which can often be managed constructively or with AC_{ω} in separable spaces. MGHD standard proofs invoke Zorn on the poset of developments (Wald [8, Thm. 10.1.2]); by Prop. 1.1, the Zorn portal yields the AC frontier.

G3. Singularity theorems (Penrose/Hawking)

Definition 3.5 (G3 witness). C^{G3} : under trapped surface + energy conditions in a globally hyperbolic spacetime, geodesic incompleteness holds.

Proposition 3.6 (G3 profile). Standard proofs trigger uses_limit_curve and uses_reductio; hence $(h_{\text{Choice}}, h_{\text{Comp}}, h_{\text{Logic}}) \geq (0, 1, 1)$ (the 1 on the second axis reads as FT/WKL_0 compactness; the 1 on the third as LEM).

Sketch. Raychaudhuri focusing plus limit-curve compactness ([9, §8], [8, §14]) gives a maximizing geodesic; contradiction shows incompleteness. Portals: compactness and reductio. \Box

G4. Maximal extensions

Definition 3.7 (G4 witness). C^{G4} : any local solution admits a maximal extension by isometric inclusion.

Proposition 3.8 (G4 profile). uses_zorn holds; $(h_{\text{Choice}}, h_{\text{Comp}}, h_{\text{Logic}}) \ge (1, 0, 0)$.

Proof. Chains of extensions admit upper bounds; Zorn yields a maximal element (portal to AC). \Box

G5. Computable evolution

Definition 3.9 (G5 witness). C^{G5} : computable initial data yield computable evolved fields (in a fixed representation) on a pinned globally hyperbolic class.

Proposition 3.10 (G5 negative template). Without added uniformity, C^{G5} can fail by a Pour-El-Richards template [4]. The failure calibrates on the Logic/Computability axis; any attempt to extract definite infinite data sequences invokes uses_serial_chain (portal to $\{DC_{\omega}\}$).

Sketch. Linear prototypes show computable \rightarrow non-computable evolution; for quasi-linear systems, similar non-uniformity can occur. If one insists on classical infinite sample paths from measurement-like procedures, the DC_{ω} portal is triggered.

4 Auxiliary lemmas (EPS; limit-curve) with sketches

Lemma 4.1 (EPS kinematics). Under the Ehlers-Pirani-Schild axioms, light rays define a conformal structure and free fall a projective structure; compatibility yields a Weyl structure whose scale integrability produces a Lorentz metric class.

Sketch. EPS axioms isolate the null cones and (unparameterized) timelike geodesics; the compatibility condition yields a torsion-free Weyl connection preserving the conformal class; vanishing length curvature selects a Levi-Civita metric representative [3]. No Zorn; compactness may enter only if one extracts maximizing curves.

Lemma 4.2 (Limit-curve compactness). In globally hyperbolic spacetimes, causal curves between compact sets form a compact set in the C^0 topology; maximizing causal geodesics exist.

Sketch. Global hyperbolicity yields compact diamond sets; equicontinuity gives Ascoli–Arzelà; upper semicontinuity of length gives maximizers (cf. $[8, \S14]$). This triggers the Compactness portal.

5 Hybrid plan: structured framework + selective deep dives

Pragmatic Necessity. Formalizing the differential geometry and PDE analysis required for General Relativity within a purely constructive framework is currently infeasible due to the lack of mature constructive libraries in Lean. Therefore, we adopt this hybrid approach, leveraging the infrastructure of the classical mathlib to manage domain complexity while strictly enforcing the AxCal methodology to track axiomatic dependencies via Structural Certification.

5.1 Sprint 3 Milestone: Schwarzschild Vacuum Solution

Achievement: Complete symbolic verification of the Schwarzschild vacuum solution, demonstrating that the Schwarzschild metric is a solution to Einstein's vacuum field equations $R_{\mu\nu} = 0$. The implementation includes:

- 1. Metric components: Diagonal metric with $g_{tt} = -f(r)$, $g_{rr} = f(r)^{-1}$, $g_{\theta\theta} = r^2$, $g_{\varphi\varphi} = r^2 \sin^2 \theta$, where f(r) = 1 2M/r.
- 2. Christoffel symbols: All 40 potentially non-zero symbols computed, with 9 non-vanishing components identified and verified.
- 3. **Ricci tensor:** Complete computation using the Ricci formula with systematic treatment of radial derivatives and angular components.
- 4. Vacuum verification: Explicit proof that all diagonal Ricci components vanish: $R_{tt} = R_{rr} = R_{\theta\theta} = R_{\varphi\varphi} = 0$.

This represents a Height 0 achievement as no axiom portals are triggered—the entire computation proceeds through finite symbolic algebra.

Structured framework (implemented). We have registered G1–G5 witness families as abstract propositions over the pinned signature Σ_0^{GR} . Route flags are attached per standard proofs, and HeightCertificates are emitted using portal soundness (Prop. 1.1). The framework maintains a verification ledger of named axioms (MGHD existence, Penrose/Hawking singularity theorems, limit-curve compactness) with bibliographic citations. This structured approach provides machine-checkable height profiles while using abstract placeholders (True) for the detailed mathematical content—a deliberate design choice that prioritizes axiomatic calibration over full formalization.

Deep dive anchors (Height 0 demonstrations). We utilize mathlib's infrastructure (e.g., calculus, real numbers) for these deep dives due to the pragmatic constraints mentioned above. This allows us to verify the mathematical steps classically while the AxCal framework certifies the absence of high-level axiom portals.

- D1 (EPS Core). We implement the EPS kinematics framework showing how light rays and free fall determine metric structure. The implementation provides a mathematically Height 0 certificate by avoiding all portals, demonstrating that the EPS reconstruction can be done constructively. The Lean artifact verifies this in classical mathlib, providing structural certification of the portal-free nature.
- D2 (Schwarzschild Engine). We implement a tensor engine for the Schwarzschild vacuum check (detailed in GR/Schwarzschild.lean). This includes formalizing the metric components, Christoffel symbols, and the Ricci tensor computation using mathlib's infrastructure for calculus and real analysis. While the underlying symbolic derivations $G_{\mu\nu}=0$ are mathematically Height 0 (no axiom portals), the Lean artifact verifies the computation using classical definitions, thus providing structural certification.

Success metrics. (i) D1 and D2 compiled without sorry in the classical mathlib environment; (ii) HeightCertificates present for all G1-G5 tracking axiom dependencies; (iii) explicit portal flags in ledger showing frontier costs; (iv) CI and "no-sorry" quards for deep-dive directories. The artifact provides Structural Certification of the AxCal bookkeeping, with mathematical Height 0 claims validated in a classical proof assistant.

Reproducibility Box: Building and Verifying Paper 5 Prerequisites:

```
# Install elan (Lean version manager)
curl https://raw.githubusercontent.com/leanprover/elan/master/elan-init.sh -sSf | sh
# Clone repository
git clone https://github.com/AICardiologist/FoundationRelativity.git
```

```
cd FoundationRelativity
Build Commands:
# Toolchain is pinned by the repository; no manual override needed
# (elan will read ./lean-toolchain automatically)
# Clean and update dependencies
lake clean && lake update
# Build Paper 5 AxCal framework
lake build Papers.P5_GeneralRelativity.Main
# Run smoke test (verifies all components)
lake build Papers.P5_GeneralRelativity.Smoke
# Verify no sorries in implementation (checks all subdirectories, excluding comments)
grep -r "sorry" Papers/P5_GeneralRelativity/ | grep "\.lean:" | \
  grep -v "--.*sorry" | wc -l # Should output: 0
```

Run schematic/axiom audits (match CI)

bash scripts/SchematicAudit.sh
bash scripts/AxiomDeclAudit.sh

- # Optional (informational): print transitive axiom dependencies
- # (will not fail; used for human-readable auditing in CI logs)

lake env lean scripts/AxiomAudit.lean || true

- # Note: This audit will show dependence on classical axioms (e.g., Classical.choice)
- # imported via mathlib. This reflects the Infrastructural Cost and is consistent
- # with our Structural Certification methodology (see Section 1.5).

Verification Outputs:

- All 7 height certificates compile: G1 (vacuum), G2 (local PDE + MGHD), G3 (Penrose), G4 (maximal extension), G5 (computable evolution + stream)
- Portal theorems correctly map flags to heights
- Sprint 3 Complete: Schwarzschild vacuum solution fully verified with explicit Christoffel symbols and Ricci tensor vanishing
- EPS and Schwarzschild Height 0 anchors verified (structurally)
- Profile computation: $Zorn \rightarrow (1,0,0)$, $Limit-Curve \rightarrow (0,1,0)$, $Serial-Chain \rightarrow (1,0,0)$, $Reductio \rightarrow (0,0,1)$

6 Calibration table (profiles at a glance)

Target	Profile $(h_{\text{Choice}}, h_{\text{Comp}}, h_{\text{Logic}})^*$	Flags/Portals used	Notes
G1: explicit vacuum	(0,0,0)	none	Mathe
G2: Cauchy/MGHD	$\geq (1,0,0) \text{ (global)}$	uses_zorn	local I
G3: singularities	$\geq (0, 1, 1)$	uses_limit_curve, uses_reductio	compa
G4: maximal extension	$\geq (1,0,0)$	uses_zorn	Zorn p
G5a: computability negative (PER)	(0,0,0)	none	negati
G5b: measurement stream	(1,0,0)	uses_serial_chain	DC_{ω} 1

^{*}Profiles indicate the Mathematical Height (Strategic Costs; see Section 1.5), not the Infrastructural Cost of the classical formalization environment.

7 Artifact Mapping: Paper Claims to Lean Implementation

7.1 Core AxCal Infrastructure

Paper Concept	Lean Symbol	Module	
Height levels $(0,1,\omega)$	Height.zero/.one/.omega	AxCalCore.Axis	
Axis profile	AxisProfile	AxCalCore.Axis	
$(h_{\text{Choice}}, h_{\text{Comp}}, h_{\text{Logic}})$			
Witness family type	WitnessFamily	AxCalCore.Axis	
Height certificate structure	HeightCertificate	GR.Certificates	
Portal flags (Zorn, Limit-Curve,	PortalFlag	GR.Portals	
etc.)			
Route-to-profile mapping	route_to_profile	GR.Portals	

7.2 GR-Specific Components

Paper Concept	Lean Symbol	Module
Pinned signature $\Sigma_0^{\rm GR}$	Spacetime, LorentzMetric	GR.Interfaces
Einstein Field Equations	EFE, VacuumEFE	GR.Interfaces
Schwarzschild pinning	IsPinnedSchwarzschild	GR.Interfaces

7.3 Calibration Targets (G1–G5)

Target	Witness Family	Certificate	Verified Profile
G1: Vacuum	GR.G1_Vacuum_W	G1_Vacuum_Cert	$(0,0,0) \checkmark^S$
G2: Local PDE	GR.G2_LocalPDE_W	G2_LocalPDE_Cert	$(0,0,0) \checkmark^S$
G2: MGHD	GR.G2_MGHD_W	G2_MGHD_Cert	$(1,0,0) \checkmark^S$
G3: Penrose	GR.G3_Penrose_W	G3_Penrose_Cert	$(0,1,1) \checkmark^S$
G4: MaxExt	GR.G4_MaxExt_W	G4_MaxExt_Cert	$(1,0,0) \checkmark^S$
G5: CompNeg	GR.G5_CompNeg_W	G5_CompNeg_Cert	$(0,0,0) \checkmark^S$
G5: Stream	GR.G5_MeasStream_W	G5_MeasStream_Cert	$(1,0,0) \checkmark^S$

 $[\]checkmark^S$: Structurally Certified (AxCal bookkeeping verified in Lean using mathlib).

7.4 Deep-Dive Deliverables (Height 0 Anchors)

Deliverable	Main Theorem	Implementation Status
D1: EPS Kinematics Core	EPS_Height_Zero	Complete framework
	EPS_Kinematics_Height0	GR.EPSCore
D2: Schwarzschild Vac-	Ricci_vanishing	Sprint 3 Complete:
uum		
	Schwarzschild_is_vacuum	Full symbolic verification
		GR.Schwarzschild

7.5 Portal Theorems

Portal	Lean Implementation	Effect on Profile
Zorn Portal	Zorn_portal axiom	$h_{\text{Choice}} \leftarrow 1$
Limit-Curve Portal	LimitCurve_portal axiom	$h_{\mathrm{Comp}} \leftarrow 1$
Serial-Chain Portal	SerialChain_portal axiom	$h_{\text{Choice}} \leftarrow 1 \text{ (via DC}_{\omega})$
Reductio Portal	Reductio_portal axiom	$h_{\text{Logic}} \leftarrow 1$

7.6 Verification Infrastructure

Component	Lean Symbol	Purpose
Main aggregator	Paper5_Main	Verifies framework completeness
		Main
Profile computation test	Profile_Computation_Works	Tests portal→height mapping
		Main
Smoke test	Paper5_Smoke_Success	CI aggregator, no-sorry guard
		Smoke
Certificate registry	Certificates.all_certificates Lists all 7 height certificates	
		GR.Certificates

7.7 Verification Ledger

The AxCal framework maintains a structured ledger that tracks the provenance of each height assignment. Each certificate in GR/Certificates.lean includes: (i) the witness family defining the mathematical claim, (ii) the list of portal flags triggered by the standard proof route, (iii) the resulting height profile computed via

route_to_profile, (iv) bibliographic citations to the source literature, and (v) a constructive upper bound proof or axiom import. This ledger design ensures that height costs are auditable and that alternative proof routes (avoiding certain portals) can be systematically explored. The framework correctly computes that Zorn's lemma triggers $h_{\text{Choice}} = 1$, limit-curve compactness triggers $h_{\text{Comp}} = 1$, and proof by contradiction triggers $h_{\text{Logic}} = 1$. All seven certificates (G1 vacuum, G2 local PDE, G2 MGHD, G3 Penrose, G4 maximal extension, G5 computability negative, G5 measurement stream) compile without sorry in classical mathlib and produce the expected height profiles as verified by Paper5_Main and the smoke tests. This constitutes Structural Certification—a machine-auditable verification of the AxCal bookkeeping and the logical composition of dependencies—rather than a formal constructive proof of the object-level GR theorems.

8 Conclusion

This paper is not a GR formalization for its own sake: it is an $AxCal\ map$ of GR. Portals, route flags, and HeightCertificates turn the folklore "this uses choice/compactness/LEM" into machine-checkable artifacts that compose across the theory. The deep-dive tasks (EPS; Schwarzschild) supply mathematically Height 0 anchors verified via $Structural\ Certification$ in classical mathlib, ensuring the project yields verifiable AxCal infrastructure while the schematic layer documents axiomatic cost with precision.

Future Work. To move from Structural Certification to full Foundational Verification for Height 0 targets (G1, D1, D2), future work will involve porting these implementations to a formal constructive library, should one become available for Lean 4.

Acknowledgments

Development assistance provided by: Gemini 2.5 Deep Think (architecture exploration and theoretical framework design), GPT-5 Pro (Lean 4 scaffolding and implementation support), and Claude Code (repository management and development workflow).

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A Portals and Proof-Route Flags: Soundness

We make explicit the mechanism that transports standard proof routes in GR into AxCal height costs.

A.1 Route flags and their semantics

Definition A.1 (Route flag). A *route flag* is a marker indicating that a derivation of a witness explicitly invokes a standard device:

```
Flag \in \{uses\_zorn, uses\_limit\_curve, uses\_serial\_chain, uses\_reductio\}.
```

Definition A.2 (Usage predicate). For a given derivation \mathcal{D} , Uses(Flag, \mathcal{D}) is the proposition that the corresponding device is *actually used as a step* in \mathcal{D} (not merely available or admissible). Formally, in Lean we record this as a Prop argument to the witness:

Uses Flag is a hypothesis to the witness family for that result.

Remark A.3 (Route sensitivity). Height costs attach to *routes*, not just to statements. If the same theorem admits a proof avoiding a flagged device, then the certificate for that alternate route carries a lower profile.

A.2 Zorn's lemma portal (Choice axis)

Proposition A.4 (Zorn portal: uses_zorn \Rightarrow {AC}). Over ZF, any derivation \mathcal{D} that uses Zorn's Lemma triggers a positive frontier on the Choice axis: if Uses(uses_zorn, \mathcal{D}), then AC is required.

Proof. In ZF, the following are equivalent: the Axiom of Choice (AC), Zorn's Lemma, and the Hausdorff Maximal Principle; see any standard reference (e.g. Jech, *Set Theory*, Thm. 8.1; Howard–Rubin, *Consequences of the Axiom of Choice*). Hence invoking Zorn in \mathcal{D} imports a principle equivalent to AC. In AxCal, we reflect this by a portal axiom

$$Uses(uses_zorn, \mathcal{D}) \Rightarrow HasAC(F),$$

which feeds the Choice coordinate of the height profile.

A.3 Limit-curve portal (Compactness axis)

Proposition A.5 (Limit–curve portal: uses_limit_curve \Rightarrow {FT or WKL₀}). Suppose a GR derivation \mathcal{D} invokes a limit–curve argument: from a sequence of causal curves with uniform local bounds (e.g. equicontinuity and uniform speed control), \mathcal{D} extracts a convergent subsequence (or a limit curve) without quantitative moduli of compactness. Then

Uses(uses_limit_curve,
$$\mathcal{D}$$
) \Rightarrow (HasFT(F) or HasWKL₀(F)).

Proof sketch. Limit-curve arguments in Lorentzian geometry are typically instances of Arzelà-Ascoli-type compactness on spaces of curves (or a diagonal Bolzano-Weierstraß selection). Over classical logic (e.g., within the framework of Reverse Mathematics using RCA₀, a system for recursive comprehension), the necessary sequential compactness for [0,1] and the Bolzano-Weierstraß theorem are equivalent to WKL₀ (Simpson, Subsystems of Second Order Arithmetic, Chs. III-IV). Over constructive bases, Heine-Borel/compactness of Cantor space (hence [0,1] via coding) is calibrated by the Fan Theorem FT (Bishop-Bridges, Constructive Analysis; Troelstra-van Dalen, Constructivism in Mathematics). Thus a non-quantitative subsequence/limit extraction imports compactness strength: classically WKL₀; constructively FT. We record this disjunctively, to be resolved by the chosen base.

Remark A.6. If one supplies explicit moduli (e.g. an effective Arzelà–Ascoli hypothesis), the portal can be avoided; the certificate for that route will then carry a lower compactness height.

A.4 Serial-chain portal (Dependent Choice axis)

Proposition A.7 (Serial-chain portal: uses_serial_chain \Rightarrow {DC $_{\omega}$ }). Let $R \subseteq X \times X$ be serial: $\forall x \in X \exists y \in X (xRy)$. If a derivation \mathcal{D} requires the existence of an infinite R-chain $(x_n)_{n \in \mathbb{N}}$ with x_nRx_{n+1} , then

$$Uses(uses_serial_chain, \mathcal{D}) \Rightarrow HasDC_{\omega}(F).$$

In the AxCal profile we record this on the Choice axis: $h_{Choice} \leftarrow 1$.

Proof. This is exactly the axiom of Dependent Choice (for ω) specialized to a serial relation. In ZF, DC_{ω} is strictly weaker than AC and sufficient to construct such chains; in BISH, the same scheme expresses the iteration of countably many dependent selections. The portal records this as a foundation-scoped token.

A.5 Reductio portal (Logic axis)

Proposition A.8 (Reductio portal: uses_reductio \Rightarrow {LEM} (upper bound)). If a derivation \mathcal{D} obtains an existential or a disjunctive conclusion solely by contradiction (i.e. using $\neg\neg\varphi\Rightarrow\varphi$ at top level, not under stable predicates), then

```
Uses(uses\_reductio, \mathcal{D}) \Rightarrow HasLEM(F),
```

giving an upper bound on the Logic axis.

Proof sketch. In intuitionistic/constructive settings, double-negation elimination is not generally valid; it becomes available under LEM (or specific semi-classical schemes for restricted formula classes). The standard proofs of the singularity theorems—e.g. Penrose—often conclude by contradiction from a global completeness hypothesis without providing a constructed witness; see Hawking-Ellis, Large Scale Structure, and Wald, General Relativity. We therefore mark the route with uses_reductio and import LEM as a conservative upper bound. If a route is reworked into a stable/existentially constructive form, the flag can be removed and the profile lowered. References: Troelstra-van Dalen; Bridges-Richman.

A.6 Portal soundness summary

Combining Propositions A.4–A.8 yields the meta–level transport principle used throughout:

Portal Soundness. If a certificate includes a set of route flags, then the corresponding tokens on the AxCal axes are admissible in the foundation, yielding the advertised height profile as an *upper bound*. When the route is replaced by one without a given flag, the corresponding coordinate can be lowered.

B AxCal-Lean Ledger

This appendix records the Lean-facing names for tokens, portal axioms, witness families, and height certificates used in the calibration of G1–G5. It functions as a machine-checkable index aligning the paper's calibration table with repository artifacts.

B.1 Axis tokens and portal axioms

```
-- AxCal core tokens (foundation-scoped)
class HasAC
              (F : Foundation) : Prop
class HasDCw
              (F : Foundation) : Prop
class HasFT
              (F : Foundation) : Prop
class HasWKLO (F : Foundation) : Prop
class HasLEM (F : Foundation) : Prop
class HasWLPO (F : Foundation) : Prop
/-- Proof-route flags (carried as hypotheses in witness families; see \ref{app:witnesses}) -/
inductive PortalFlag
| uses zorn
| uses_limit_curve
| uses serial chain
| uses_reductio
/-- Portal soundness axioms (paper Proposition~\ref{prop:portals}).
    They are registered once per foundation F. -/
```

```
axiom Zorn_portal : forall {F}, Uses PortalFlag.uses_zorn -> HasAC F
axiom LimitCurve_portal : forall {F}, Uses PortalFlag.uses_limit_curve -> (HasFT F or HasWKLO F)
axiom SerialChain_portal : forall {F}, Uses PortalFlag.uses_serial_chain -> HasDCw F
axiom Reductio_portal : forall {F}, Uses PortalFlag.uses_reductio -> HasLEM F
```

Notes.

- The wrapper Uses flag is a Propositional hypothesis attached to the witness (see Appendix B.2). It records that the specific derivation relies on the flagged device (e.g., Zorn's Lemma). This mechanism is what ties the proof *route* to the axiomatic cost.
- The compactness portal is recorded disjunctively (HasFT or HasWKLO) to reflect constructive/classical bases; the certificate chooses the branch used in the imported argument.

B.2 Witness families for G1–G5

```
-- Pinned signature Sigma0^GR (interfaces only; no mathlib dependency)
structure Manifold := ...
structure LorentzMetric (M : Manifold) := ...
structure Spacetime := (M : Manifold) (g : LorentzMetric M)
-- Einstein tensor interface and EFE predicate
def EinsteinTensor (S : Spacetime) : Tensor := ...
def EFE (S : Spacetime) (T : Tensor) : Prop := ...
-- WitnessFamily type (from AxCal core)
     WitnessFamily F := Prop (witness existence over foundation F)
namespace GR
/-- G1: explicit vacuum check (Schwarzschild@pin) -/
def G1_Vacuum_W : WitnessFamily := fun F =>
 forall (Ssch : Spacetime), IsPinnedSchwarzschild Ssch -> EFE Ssch ZeroTensor
/-- G2: Cauchy problem split into local PDE and MGHD (global) -/
def G2_LocalPDE_W : WitnessFamily := fun F =>
  forall (ID: InitialData), LocalWellPosed ID
                                                       -- no portal flags
                 : WitnessFamily := fun F =>
def G2_MGHD_W
  forall (ID : InitialData), Uses PortalFlag.uses_zorn -> MGHD_Exists ID
/-- G3: Singularity theorem (schematic Penrose) -/
def G3_Penrose_W : WitnessFamily := fun F =>
  forall (S : Spacetime),
    (NullEnergyCondition S) →
    (HasTrappedSurface S)
    Uses PortalFlag.uses_limit_curve →
   Uses PortalFlag.uses_reductio
    ¬ GeodesicallyComplete S
/-- G4: Maximal extension existence -/
def G4_MaxExt_W : WitnessFamily := fun F =>
  forall (S : Spacetime),
   Uses PortalFlag.uses_zorn →
    exists Smax, IsMaximalExtension S Smax
```

```
/-- G5: Computable evolution (negative template and DC stream) -/
def G5_CompNeg_W : WitnessFamily := fun F =>
 exists (class : GHClass),
   ComputableInitialData class and
   NonComputableEvolution class -- PER-style failure
def G5_MeasStream_W : WitnessFamily := fun F =>
 HasDCw F -> (forall proto : SerialProtocol, InfiniteHistory proto)
end GR
      Height certificates (profiles and routes)
B.3
-- Axis triple: (Choice, Compactness, Logic)
structure AxisProfile := (hChoice hComp hLogic : Height)
                                                        -- Height in {zero, one, omega}
structure HeightCertificate :=
          : WitnessFamily
, profile : AxisProfile
       : List PortalFlag
, flags
         : ProfileUpper profile W
                                          -- constructive upper proof or portal imports
, upper
 cites
        : List Citation
                                          -- paper-level references used
}
-- Concrete certificates (G1--G5)
def G1_Vacuum_Cert : HeightCertificate :=
        := GR.G1 Vacuum W
, profile := <zero, zero, zero>
, flags := []
, upper := by
   -- symbolic curvature computation at the pin (no portals)
   exact upper_height0_vacuum_check
, cites := [cite "Wald §B.4"]
def G2_LocalPDE_Cert : HeightCertificate :=
         := GR.G2_LocalPDE_W
, profile := <zero, zero, zero> -- or <one, zero, zero> if ACw is used in analysis
, flags := []
        := import_local_pde_result
, upper
, cites := [cite "Choquet-Bruhat (2009)"]
def G2 MGHD Cert : HeightCertificate :=
     := GR.G2_MGHD_W
, profile := <one, zero, zero>
, flags := [PortalFlag.uses_zorn]
        := by
, upper
   intro F ID hzorn
   have hAC : HasAC F := Zorn_portal hzorn
   exact imported_mghd_existence hAC
, cites := [cite "Wald Thm. 10.1.2"]
def G3_Penrose_Cert : HeightCertificate :=
```

```
:= GR.G3_Penrose_W
, profile := <zero, one, one>
, flags := [PortalFlag.uses_limit_curve, PortalFlag.uses_reductio]
, upper
         := by
   intro F S nec trapped hlim hred
   have hComp : (HasFT F or HasWKLO F) := LimitCurve_portal hlim
   have hLEM : HasLEM F
                                     := Reductio_portal hred
   exact imported_penrose hComp hLEM nec trapped
, cites := [cite "Hawking-Ellis §8", cite "Wald §14"]
def G4_MaxExt_Cert : HeightCertificate :=
        := GR.G4_MaxExt_W
, profile := <one, zero, zero>
, flags := [PortalFlag.uses_zorn]
, upper
       := by
   intro F S hz
   exact imported_maximal_extension (Zorn_portal hz)
, cites := [cite "Wald §10.1"]
def G5_CompNeg_Cert : HeightCertificate :=
         := GR.G5_CompNeg_W
, profile := <zero, zero, zero> -- negative template; no portal cost tracked
, flags := []
, upper := imported_PER_negative_template
, cites := [cite "Pour-El-Richards (1989)"]
}
def G5_MeasStream_Cert : HeightCertificate :=
         := GR.G5_MeasStream_W
, profile := <one, zero, zero> -- DC sits on the Choice axis
, flags := [PortalFlag.uses_serial_chain]
       := by
, upper
   intro F hDC proto
   exact SerialChain_portal_elim hDC proto
, cites := [cite "AxCal DC eliminator"]
```

B.4 Verification table (names / profiles / portals)

Target	Witness (Lean)	Certificate (Lean)	Flags	Profile
G1	GR.G1_Vacuum_W	G1_Vacuum_Cert	_	(0,0,0)
G2 (local)	${\tt GR.G2_LocalPDE_W}$	G2_LocalPDE_Cert	_	(0,0,0) or $(1,0,0)$
G2 (MGHD)	GR.G2_MGHD_W	G2_MGHD_Cert	Zorn	(1,0,0)
G3	GR.G3_Penrose_W	G3_Penrose_Cert	LimitCurve, Reductio	(0, 1, 1)
G4	<pre>GR.G4_MaxExt_W</pre>	G4_MaxExt_Cert	Zorn	(1,0,0)
G5 (neg.)	GR.G5_CompNeg_W	G5_CompNeg_Cert	_	(0,0,0)
G5 (stream)	<pre>GR.G5_MeasStream_W</pre>	G5_MeasStream_Cert	SerialChain	(1,0,0)

B.5 File map (proposed layout)

```
Papers/P5_GR/
AxCalCore/Axis.lean -- Height, AxisProfile, ProfileUpper
```

-- HasAC, HasDCw, HasFT, HasWKLO, HasLEM, HasWLPO AxCalCore/Tokens.lean GR/Interfaces.lean -- SigmaO^GR: manifolds, Lorentz metrics, EFE predicate GR/Portals.lean -- PortalFlag, Zorn_portal, LimitCurve_portal, ... -- G1_Vacuum_W, G2_*, G3_*, G4_*, G5 * GR/Witnesses.lean -- G*_Cert definitions (HeightCertificate) GR/Certificates.lean -- (deep-dive) EPS kinematics proofs (Height 0) GR/EPSCore.lean -- (deep-dive) vacuum check engine (Height 0) GR/Schwarzschild.lean Ledger/Citations.lean -- structured bibliography handles for certificates Smoke.lean -- CI aggregator; no-sorry guard for deep-dive dirs

B.6 Ledger policy

- Every certificate includes flags (route evidence) and cites (bibliographic anchors).
- Replacing an imported theorem by an internal proof that avoids a flagged portal *automatically* lowers the certificate's profile (the AxCal algebra recomputes heights componentwise).
- Disjunctive compactness (HasFT or HasWKLO) must be resolved per foundation instance to produce a concrete (h_{Comp}) entry.
- Environment acknowledgment: All certifications are structural, executed within a classical (mathlib) environment. Height 0 certificates (G1, D1, D2) certify the absence of high-level portals (like Zorn or LEM), not the foundational constructivity of the underlying calculus implementation used in the Lean artifact.

C Methodological Discussion: Structural Certification and Physical Insight

This appendix addresses fundamental questions about the AxCal methodology, its validity, and its value to physics.

C.1 Defending Structural Certification

A natural critique of this project might argue: "You cannot verify constructivity by working in a classical system. The claim of Height (0,0,0) for G1 is contradictory when the verification uses classical mathlib." This critique conflates two distinct activities:

- Foundational Verification: Proving a theorem within a constructive system (e.g., BISH). This indeed requires a constructive proof assistant.
- Meta-Analysis (Structural Certification): Reasoning about the dependencies of a proof.

It is entirely valid to use a classical meta-theory to analyze proofs in a weaker object theory. For example, Reverse Mathematics practitioners typically use classical logic (ZFC) to prove that a theorem is equivalent to WKL_0 over RCA_0 . They perform meta-analysis.

Structural Certification formalizes this meta-analysis. The claim that G1 has Mathematical Height (0,0,0) means the argument relies only on finite symbolic manipulation and does not invoke high-level non-constructive principles. The Lean artifact verifies:

- 1. The individual steps (calculus, algebra) are correct (classically).
- 2. The overall structure does not invoke the uses_zorn flag or other portals.

This combination provides a machine-checked guarantee that the high-level architecture of the proof is free from specific non-constructive principles.

C.2 Physical Value of Axiom Calibration

One might ask: "Is this just math for math's sake? Are we gaining genuine physical insight?"

The AxCal framework offers substantial value to the foundations of physics by systematically mapping logical dependencies within GR:

C.2.1 Clarifying Physics vs. Mathematical Idealization

- The Axiom of Choice and Physical Reality: G4 (Maximal Extensions) and G2 (MGHD) rely on Zorn's Lemma. AC guarantees *existence* but provides no algorithm to *construct* these spacetimes. This forces physicists to question whether maximal extensions are physical necessities or mathematical artifacts.
- LEM and Singularities: G3 (Singularity Theorems) uses proof by contradiction. Standard proofs demonstrate geodesic incompleteness must occur but provide no constructive method to locate singularities. AxCal highlights that singularity formation remains constructively elusive.

C.2.2 The Crisis of Computability

Physics strives for predictive theories. AxCal rigorously separates constructive (computable) parts of GR from non-constructive ones:

• Limits of Prediction (G5): The Pour-El-Richards result shows well-posed PDEs can have computable initial conditions evolving into *non-computable* states. If GR exhibits this behavior, it imposes fundamental limits on predictability, independent of computational power.

C.2.3 Grounding Theory in Observables

• The EPS Framework (D1): The Ehlers-Pirani-Schild framework derives spacetime structure from light rays and free-falling particles. Formal verification that this reconstruction is constructive (Height 0) demonstrates GR can be grounded in idealized physical observations rather than abstract mathematical assumptions.

C.2.4 Ensuring Correctness in Critical Computations

• Verified Tensor Calculus (G1/D2): The Schwarzschild Engine provides verified tensor manipulation. The formal proof that $R_{\mu\nu} = 0$ for the Schwarzschild metric guarantees algebraic correctness. This is vital for numerical relativity where simulations must faithfully represent the continuum theory.

C.3 Pragmatic Choices: Classical Tools for Constructive Analysis

Given the complexity of pure constructive formalization, why not abandon mathlib?

C.3.1 The Complexity Challenge

- 1. **Nature of Analysis:** Constructive analysis requires explicit tracking of witnesses and convergence moduli. Basic principles like real number trichotomy fail without decision algorithms.
- 2. **Library Support:** No constructive library matches mathlib's scope for advanced mathematics. Building the necessary infrastructure would dwarf the GR formalization itself.
- 3. **Project Focus:** The primary goal is Axiom Calibration of GR, not developing constructive differential geometry libraries.

C.3.2 Strengthening Structural Certification

While using a classical environment, we strengthen Height 0 claims through:

- Axiom Auditing: Using Lean's #print axioms to inspect dependencies, ensuring Height 0 modules minimize classical principles.
- Linter Discipline: Forbidding explicit classical mechanisms (like by_contra) within Height 0 modules, maintaining direct proof style.

C.4 Conclusion

The AxCal project is not "math for math's sake." It creates a **meta-map of GR**, rigorously identifying where the theory relies on abstract principles like AC or LEM. This clarifies limits of computability, predictability, and physical realizability.

Structural Certification provides a rigorous, machine-checked framework achieving the project's primary goals while acknowledging the pragmatic use of classical tools. A formal constructive certificate remains a valuable but separate long-term goal.

The methodology is sound when articulated with precision and demonstrated concretely, as we have done with the Schwarzschild vacuum verification.