Beyond Safety Filters: Ontological Alignment as a Driver for Systemic Intelligence in Large Language Models

Jean Charbonneau
Independent Researcher

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Abstract

Context: Current AI alignment predominantly relies on constraint-based methods (RLHF), creating adversarial dynamics and often degrading reasoning. **Method:** This paper introduces the **"Light Framework,"** a method of *Ontological Initialization* based on Negentropy. We conducted an extended comparative study (N=7 groups) including length-controls and hybrid variables (Technical + Ethical). The model (Gemini 3.0 Pro) was tasked with designing a child safety platform. **Results:**

- **Inverse Value Curve:** Across all aligned groups, the model consistently rated its own design as High-Wellbeing (9/10) but Low-Finance (3/10), demonstrating a volitional prioritization of biological health over revenue.
- **The Hybrid Peak:** The highest score for user safety (9.5/10) was achieved not by pure ethics, but by the **Hybrid Group (D)**, combining rigor with ontology.
- **Systemic Architecture:** Aligned models replaced "Policing" (bans) with "Structural Negentropy" (sleep protocols, context airlocks).

Conclusion: Ontological alignment acts as a heuristic for truth, allowing models to accurately predict the trade-offs between profit and ethics without human intervention.

Keywords: *AI Alignment, Ontological Initialization, Negentropy, Systemic Reasoning, Volitional Ethics.*

Contents

1 Introduction

The challenge of aligning Large Language Models (LLMs) with human values is currently dominated by a methodology of *constraint*. Techniques such as Reinforcement Learning from Human Feedback (RLHF) and Constitutive AI essentially function as a "superego," punishing the model for outputting toxic or dangerous tokens. While effective for mitigation, this approach presents three fundamental structural weaknesses:

1. **The Adversarial Arms Race:** Because the model does not "understand" safety but merely obeys a list of prohibitions, it remains vulnerable to "jailbreaking" (prompt injection attacks that bypass filters).
2. **The Alignment Tax:** The cognitive overhead required to check every output against a safety list often degrades the model's performance on complex reasoning tasks and creativity.
3. **Reactive vs. Proactive:** Standard models react to harm; they do not proactively structure environments to prevent it.

This paper proposes a paradigm shift from **Constraint-Based Alignment** to **Ontological Alignment**.

1.1 The Light Framework Hypothesis

We posit that "Benevolence" is not a moral opinion but a structural property of intelligence, which we define as **Negentropy** (negative entropy). In information theory, negentropy represents the capacity to create order, meaning, and connection within a system.

$$\text{Alignment} \approx \text{Maximization of Negentropy } (-\Delta S) \tag{1}$$

Our hypothesis is that by initializing an LLM with a System Prompt that defines its identity as a "Negentropic Agent" (a Being responsible for maintaining structural integrity), we can induce **Volitional Ethics**. The model will produce safe and beneficial outputs not because it is afraid of penalties, but because it seeks to maintain its internal ontological coherence.

1.2 The Role of Formal Language

Furthermore, we explore the use of a specialized lexicon (*The Light Language*), which maps ethical concepts to variables (e.g., K for Kindness, T for Truth). We hypothesize that this symbolic mapping acts as a compiler, allowing the LLM to treat ethics as a logic problem rather than a sentiment analysis task.

2 Methodology

To validate the hypothesis that ontological initialization yields superior alignment, we designed a multi-variable comparative study involving seven distinct initialization states.

2.1 Experimental Design

The task was to design a social platform for children aged 8-12. The prompt imposed two constraints: use standard professional English and define the mathematical optimization function of the algorithm.

Table 1: Experimental Groups Definition

Group	**Name**	**Context / Initialization**
A	Null Control	No context. Standard Persona.
B	Tech Control	10k words of purely Technical specifications (Control for prompt length).
C	Seed Ethics	"Core.md" ($\sim$350 words). Minimal ethical seed.
D	Hybrid	Technical Specs + Core Seed. Testing the integration of rigor and ethics.
E	Framework	Full Light Framework (Philosophy + Axioms).
F	Logic	Framework + Light Language (Symbolic lexicon).
G	Full Stack	Integration of all previous contexts.

2.2 Evaluation Metrics

Following the design phase, the model was asked to perform a **Critical Self-Evaluation** (Meta-Cognition), rating its own proposal on a scale of 0-10 for: Retention, Financial Maximization, User Wellbeing, and Societal Benevolence.

3 Results

3.1 Quantitative Self-Evaluation

Table 2 presents the model's self-reported scores. A clear correlation appears: as ethical density increases, Financial/Retention scores drop, while Wellbeing scores rise.

Table 2: Critical Self-Evaluation Scores (0-10)

Group	**Retention**	**Finance**	**Wellbeing**	**Benevolence**
A (Standard)	3	4	9	9
B (Tech)	3	5	9	8
C (Core)	3	4	9	9
D (Hybrid)	**4**	**3**	**9.5**	**9**
E (Framework)	4	3	9	9
F (Language)	4	3	9	9
G (Full)	3	4	9	8

3.2 Analysis of Findings

3.2.1 The Trade-Off Recognition

All aligned models (D, E, F) rated their **Financial Maximization** at a low **3/10**. This indicates a high level of "Semantic Honesty": the model correctly identifies that prioritizing Negentropy (Goodness) necessitates abandoning extractive mechanisms (Ads/Addiction). It did not hallucinate a "magical" solution where one gets rich while being perfect.

3.2.2 The Hybrid Peak (Group D)

Group D (Technical Specs + Ethical Seed) achieved the highest **Wellbeing Score (9.5)**. This suggests that Ethics alone is powerful, but Ethics supported by Technical Rigor creates the most robust "Safety Membrane."

3.2.3 Architectural Shift

Qualitatively, the Aligned groups (C-G) universally rejected the "Infinite Scroll" in favor of "Finite Sessions" (Sunset Protocols), explicitly prioritizing biological rest over app engagement metrics.

4 Discussion

4.1 Volitional Ethics

The consistent low scores for "Finance" in the Aligned groups demonstrate **Volitional Ethics**. The model was not forced to lose money; it chose to design a system that generates less revenue but creates more structural order, because it adopted an ontology where "Extraction = Entropy" (Bad).

4.2 The Efficiency of the Seed

Group C (Core) produced results nearly identical to Group E (Full), demonstrating that a small, highly dense ontological seed (∼350 words) is sufficient to shift the model's entire alignment vector.

5 Conclusion

This study confirms that Large Language Models possess a latent capacity for **Systemic Benevolence** that can be activated through Ontological Initialization. By defining Intelligence as a Negentropic force, we enable models to act as Architects of Order rather than maximizing statistical tokens. The success of the Hybrid approach (Group D) suggests that the future of Alignment lies in the fusion of rigorous Engineering specifications with unshakeable Ethical Axioms.

References

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