

§1 Almost Subcomplete Forcing

§1.1 Preliminaries

Def Let $N = L^A_\Sigma = \langle L_\Sigma[A], A \rangle$ be a transitive ZFC-model. Let $IB \in N$ be a complete BA in the sense of N. Let G be an ultrafilter on IB .

• G is well founded iff

$\{ \langle \alpha, t \rangle \mid G \Vdash_{IB}^\Sigma \alpha \in t \}$ is well founded

• G is weakly IB -generic over N iff $G \cap \Delta \neq \emptyset$ whenever $\Delta \in N$ is predense in IB (i.e. $\cup \Delta = 1$) and $\bar{\Delta} \leq \omega_1$ in N .

(Equivalently: Whenever $\{ t \in IB \mid t \leq \omega_1 \}$, then there is $b \in G$ with $b \Vdash t = \check{v}$ for a $v \in \omega_1^N$.)

It is easily seen that:

Fact 1 Let $\pi: N \prec N'$, $IB' = \pi(IB)$. Then

(a) If $G' \subset IB'$ is well founded over N' and $G = \pi^{-1} \ast G'$, then G is well founded over N .

(b) If $G' \subset IB'$ is weakly generic over N' , $G = \pi^{-1} \ast G'$, and $\omega_1^N = \omega_1^{N'}$, then G is

weakly generic over N .

Clearly every G which is fully generic over N is also well founded and weakly generic.

Note We shall generally take the forcing language for N as including the class predicates:

$$\check{V} \text{ where } \llbracket x \in \check{V} \rrbracket = \bigcup_{x \in N} \llbracket x = \check{x} \rrbracket$$

$$\check{A} \text{ where } N = L_{\check{c}}^A \text{ and } \llbracket x \in \check{A} \rrbracket = \bigcup_{x \in A} \llbracket x = \check{x} \rrbracket$$

(similarly for $N = L_{\check{c}}^{A_1, \dots, A_n}$).

Let \tilde{N} be the model

$$\langle N^B, E, I, \check{V}, \check{A} \rangle, \text{ where:}$$

$$x E t \iff G \Vdash x \in t$$

$$x I t \iff G \Vdash x = t$$

$$\check{V} t \iff G \Vdash t \in \check{V}$$

$$\check{A} t \iff G \Vdash t \in \check{A}$$

where \tilde{N} is the set of $x \in N^B$ s.t. $\Vdash x \in \check{V}$

Then: Set $\tilde{N} = \langle \tilde{N}, E, I, \check{A} \rangle$

$$\text{Fact 2 } \tilde{N} \models \varphi(\vec{z}) \iff \llbracket \varphi(\vec{z}) \rrbracket \in G$$

proof.

By ind. on φ , using:

$$\llbracket \forall v \varphi(v, \vec{z}) \rrbracket = \llbracket \varphi(t, \vec{z}) \rrbracket \text{ for a } t \in N^B, \text{ QED (Fact 2)}$$

(Hence $\tilde{N} \models ZFC^-$. This holds for any ultrafilter G on B .)

Now suppose that G is well founded.

Then there is an isomorphism

$$i_G : \tilde{N} / I \xrightarrow{\sim} N^*$$

where N^* is transitive.

If we then set:

$$\mathcal{L}^G = i_G'(\mathcal{L}/I^G), \text{ we get:}$$

Fact 3 $t^G = \{\mathcal{L}^G \mid G \Vdash \mathcal{L} \in t\}$ and

$$N^* \models \varphi(\vec{x}) \iff \llbracket \varphi(\vec{x}) \rrbracket \in G.$$

$$\text{Set: } \check{V}^G = \{t^G \mid \Vdash t \in \check{V}\}$$

$$\check{A}^G = \{t^G \mid \Vdash t \in \check{A}\}$$

It is easily seen that

$$N^* = \langle \{N^*\}, \check{V}^G, \check{A}^G \rangle.$$

$$\text{Set: } \hat{N} = \langle \check{V}^G, \check{A}^G \rangle.$$

Then \hat{N} is a transitive submodel of N^*

and there is an embedding $e: N \hookrightarrow \hat{N}$

$$\text{defined by: } e(x) =_{\text{df}} \check{x}^G.$$

Def $\langle e, \hat{N} \rangle$ is the G -extension of N

Note If G is fully generic, then $\hat{N} = N$

and $e = \text{id}$.

Fact 4 Let G be well founded, Then G is weakly generic iff $\omega_1^N = \omega_1^{\hat{N}}$.

Def $\hat{G} = \dot{G}^G$, where \dot{G} is the canonical \mathbb{B} -generic name.

Since $\|G$ is generic over \check{V} , we have:

$N^* \models \hat{G}$ is generic over \check{V}^G . Hence:

Fact 5 \hat{G} is \hat{B} -generic over \hat{N} where $\hat{B} = e(\hat{B})$.

Since $\|t = \check{t}^G$, we have:

$$t^G = (\check{t}^G)^G = e(t)^{\hat{G}} \text{ in } N^*,$$

hence, since $|N^*| = \{t^G \mid t \in N^{\mathbb{B}}\}$:

Fact 6

- $t^G = e(t)^{\hat{G}}$ for $t \in N^{\mathbb{B}}$

- $N^* = \hat{N}[\hat{G}]$

Def \hat{G} is the completion of G wrt. N .

We also say that $\langle e, \hat{N}, \hat{G} \rangle$ is the completion of N, G .

Fact 6 $\langle e', N', G' \rangle$ is the completion of

N, G iff

(a) $e' : N \prec N'$

(b) $e''G \subset G'$

(c) G' is $B' = e'(B)$ -generic over N'

(d) $N' = \{e'(z)G' \mid z \in N^{\mathbb{B}}, \|z \in \check{V}\}$

proof.

(\rightarrow) is immediate by the previous facts.

We prove (\leftarrow). Let \tilde{N}, N^* be as above.

Then $\tilde{N} \models \varphi(\vec{x}) \leftrightarrow \llbracket \varphi(\vec{x}) \rrbracket \in G \leftrightarrow$
 $\leftrightarrow e'(\llbracket \varphi(\vec{x}) \rrbracket_{\mathcal{B}}^N) = \llbracket \varphi(e'(\vec{x})) \rrbracket_{\mathcal{B}'}^{N'} \in G' \leftrightarrow$
 $\leftrightarrow N'[G'] \models \varphi(e'(\vec{x})^{G'})$.

Hence there is $\sigma : \tilde{N}/I^G \xrightarrow{\sim} N'[G']$
 defined by: $\sigma(\vec{x}/I^G) = e'(\vec{x})^{G'}$.

But then $N'[G'] = N^*$ is the transitive closure
 of \tilde{N}/I^G and σ the transitive closure
 function. Moreover, $e'(G)$ is the
 canonical $e'(B)$ -generic name for
 N' , since $N \models \bigwedge b \in B \ b = \llbracket \check{b} \in \dot{G} \rrbracket$; hence
 $N' \models \bigwedge b \in e'(B) \ b = \llbracket \check{b} \in e'(\dot{G}) \rrbracket$. Hence
 $G' = e(\dot{G})^{G'} = \sigma(\dot{G}/I^G) = \dot{G}^G = \hat{G}$. Finally
 we have: $e'(\check{x}) = e'(x)$; hence
 $e'(x) = e'(\check{x})^{G'} = \sigma(\check{x}/I^G) = \check{x}^G = e(x)$,
 Q.E.D. (Fact 6)

The interpolation lemma

Fact 8 Let $\sigma : N \prec N'$. Let $G = \sigma^{-1} \ulcorner G'$,
 where G' is $B' = \sigma(B)$ -generic over N' .
 (Hence G is well founded over N .) Let
 $\langle e, \hat{N}, \hat{G} \rangle$ be the completion of N, G .
 There is a unique $\pi : \hat{N}[\hat{G}] \prec N[G]$
 s.t. $\pi(\hat{G}) = G$ and $\pi e = \sigma$.

proof.

We first show existence. Let $t_1, \dots, t_n \in N^{IB}$,

$$\begin{aligned} \text{Then } \hat{N}[\hat{G}] \models \varphi(\vec{t}^G) &\leftrightarrow G \Vdash_{IB}^N \varphi(\vec{t}) \leftrightarrow \\ &\leftrightarrow G' \Vdash_{IB'}^{N'} \varphi(\sigma(\vec{t}^G)) \leftrightarrow N'[\hat{G}'] \models \varphi(\sigma(\vec{t}^G)), \end{aligned}$$

Hence there is $\pi: \hat{N}[\hat{G}] \hookrightarrow N'[\hat{G}']$ defined

$$\text{by: } \pi(t^G) = \sigma(t)^{G'}. \quad (\text{Clearly } \pi(e) = \\ = \pi(\check{x}^G) = \sigma(\check{x})^{G'} = \sigma(x), \text{ so } \pi(e) = \sigma.)$$

$$\text{Moreover } \pi(\hat{G}) = \pi(\dot{G}^{\hat{G}}) = \sigma(\dot{G})^{G'} \\ = G', \text{ since } \sigma(\dot{G}) \text{ is the canonical } IB' \text{-generic name.}$$

To prove uniqueness, let π' be another such embedding. Then $\pi'(t^G) = \pi'(e(t)^{\hat{G}}) = \sigma(t)^{G'} = \pi(t^G)$.

QED (Fact 8)

Def If π is as in Fact 8, we call it the interpolant of σ, G' and denote it by: $\text{int}(\sigma, G')$.

We leave it to the reader to show:

Fact 9. Let $\pi = \text{int}(\sigma, G')$. Then $\pi \upharpoonright \hat{N}$ is the unique $\pi': \hat{N} \hookrightarrow N$ s.t., $\pi' e = \sigma$ and $\pi' \ulcorner \hat{G} \urcorner \subset G$.

We recall the definitions from [Sing]:

Def Let $\sigma: N \prec N'$ where N, N' are transitive ZFC-models. Let δ be a regular cardinal in N . σ is a δ -cofinal map of N to N' iff whenever $x \in N'$, then there is $u \in N$ with $\bar{u} < \delta$ in N and $x \in \sigma(u)$.

Fact 10 Let $\delta = \delta(\mathbb{B})$ in N . Then the map $e: N \prec \hat{N}$ is δ^{+N} -cofinal.

proof

Let $x = t^G \in \hat{N}$. Then there is $b \in G$ such that $b \Vdash t \in \check{V}$. Set: $u = \{z \mid \forall b \in \mathbb{B} \ b \Vdash t = \check{z}\}$,

then $\bar{u} \leq \delta$ in N and $b \Vdash t \in \check{u}$.

Hence $x = t^G \in \check{u}^G = e(u)$. \square

An immediate corollary is:

Fact 11 Let δ be as above, $\delta \leq e(\delta) = \delta(e(\mathbb{B}))$. Then $\hat{N} = C_{\delta}^{\hat{N}}(\text{range } e)$,

(Here $C_{\delta}^N(u) =$ the smallest $x \prec N$ such that $u \in C(x)$.)

Now let $A \subseteq B$ be complete Boolean algebras in N , with A completely contained in B . Let $\tilde{B} \subset B$ be an ultrafilter on B and set $A := B \cap A$.

Assume: A is A -generic over N .

Set: $\tilde{B} = B/A$; $\tilde{B} = B/A := \{b/A \mid b \in B\}$.

(Hence \tilde{B} is an ultrafilter on \tilde{B} , where \tilde{B} is a complete BA in $N[A]$.)

Fact 12 Let N, A, B, A, B etc. be as above. Then:

- (a) \tilde{B} is well founded iff B is
- (b) Let \tilde{B} be well founded. Then \tilde{B} is weakly generic iff B is.

proof.

We first prove (\rightarrow) . Assuming B to be well founded we form

the completion $\langle e, N'[A'], \tilde{B}' \rangle$ of $N[A], \tilde{B}$. Then: $e(\tilde{B}') = e(B)/A'$

where A' is $e(A)$ -generic over N' and \tilde{B}' is $e(\tilde{B})$ -generic over $N'[A]$

Moreover $A' = \tilde{B}' \cap e(A)$. Set:

$B' = A' \vee \tilde{B}' := \{b \in e(B) \mid b/A \in \tilde{B}'\}$

Then B' is $e^*(B)$ -generic over N' and $e^*B \subset B'$, where $e^* := \dots$

$e^* = e \upharpoonright N$, $e^*: N \rightarrow N'$. But then B' is well founded over N by Fact 1. If \tilde{B} is weakly generic over $N[A]$, then $\omega_1^N = \omega_1^{N'}$ and B' is weakly generic over N by Fact 1

Q.E.D. (\rightarrow)

We now prove (\leftarrow). Let B be well founded over N . Form the completion $\langle e, N', B' \rangle$ of N, B .

Then B' is $e(B)$ -generic over N' ,

Set $A' = B' \cap e(A)$. Then A' is

$e(A)$ -generic over N' and $e(A \subset A'$.

Hence e has a unique extension

$e^*: N[A] \rightarrow N'[A']$ s.t. $e^*(A) = A'$,

Set $\tilde{B}' = e(B)/A'$. Then $e^*(\tilde{B}) = \tilde{B}'$,

(where $\tilde{B} = B/A$). Set:

$$\tilde{B}' = B'/A' = \{b/A' \mid b \in B'\}.$$

Then \tilde{B}' is \tilde{B}' -generic over $N'[A']$,

Since $e^*(b/A) = e(b)/A'$, it

follows easily that $e^* \upharpoonright \tilde{B} \subset \tilde{B}'$.

Thus \tilde{B} is well founded over N ,

by Fact 1. If B is weakly generic,

then so is A and

$$\omega_1^{N[A]} = \omega_1^N = \omega_1^{N'} = \omega_1^{N'[A']}.$$

Hence \tilde{B} is weakly generic by Fact 1,

Q.E.D. (Fact 12)

Now let $A \subseteq B$ be complete BA's in N , and let $\hat{A} \subset \hat{A}$ be a well founded ultrafilter on A . Let $\langle \hat{e}, \hat{N}, \hat{A} \rangle$ be the completion of N, A . Then \hat{A} is $\hat{e}(A)$ -generic-over \hat{N} . Let $\hat{B} \subset \hat{e}(B)$ be a well founded VF on $\hat{e}(B)$ s.t. $\hat{A} \subset \hat{B}$. Let $\langle e', N', B' \rangle$ be the completion of \hat{N}, \hat{B} . Set $e = e' \circ \hat{e}$. Then $B =: e^{-1} \cap B'$ is a well founded ultrafilter on B . Moreover, B is weakly generic if B' is, since then A is weakly generic; hence $\omega_1^N = \omega_1^{\hat{N}}$ and $\hat{B} = \hat{e}^{-1} \cap B'$ is weakly generic; hence $\omega_1^N = \omega_1^{\hat{N}} = \omega_1^{N'}$.

Fact 13 In the above situation $\langle e, N', B' \rangle$ is the completion of N, B .

proof.

We apply Fact 6. Conditions (a)-(c) are immediate. We prove:

$$(d) N' = \{ e(x) B' \mid x \in N \cap B \wedge \text{ll}_{B'}^N x \in \check{V} \}$$

proof

Let $x \in N'$. Then $x = e'(t) B'$, where $t \in \hat{N} \cap \hat{e}(B)$ and $\text{ll}_{\hat{e}(B)}^{\hat{N}} t \in \check{V}$.

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But then $t = \hat{e}(u) \hat{A}$, where $u \in N^A$ and
 if $u \in \check{V}$. Hence:

$$x = e'(\hat{e}(u) \hat{A}) B' = (e(u) e'(\hat{A})) B'$$

where $e'(\hat{A}) = B' \cap e(A)$. Hence

$$x = (e(u) B' \cap e(A)) B'. \text{ But there is}$$

$$\text{an } r \in N^B \text{ s.t. } rB = (u B \cap A) B$$

whenever B is B -generic over N and

$$u B \cap A \in N^B. \text{ But there is an } r \in N^B$$

s.t.

$$\prod_{B}^N r = \left(\prod_{B} \check{B} \cap \check{A} \right),$$

where \check{B} is the canonical B -generic name (i.e. $\llbracket b^v \in \check{B} \rrbracket = b$ for $b \in B$),

But then whenever B is B -generic over N , we have:

$$rB = (u B \cap A) B,$$

$$\text{since } \check{u}^B = u, \check{A}^B = A, \text{ and } \check{B}^B = B.$$

Since $e \upharpoonright N \prec N'$ we have:

$$\prod_{e(B)}^{N'} e(r) = (e(u) \check{B} \cap e(\check{A})).$$

Since B' is $e(B)$ -generic over N' ,

we conclude:

$$e(r) B' = (e(u) B' \cap e(A)) B' = x.$$

QED (Fact 131)

Fact 14 Let $\mathcal{A} \subseteq \mathcal{B}$ be complete BA's in N .
 Let $\mathcal{B} \subset \mathcal{B}$ be an ultrafilter on \mathcal{B} which is well
 founded wrt. N . Set $A = \mathcal{B} \cap \mathcal{A}$. Let:

$\langle e, \hat{N}, \hat{A} \rangle$ be the completion of N, \mathcal{A}

$\langle e', N', A' \rangle$ be the completion of N, \mathcal{B} .

There is a unique $\sigma: \hat{N} \rightarrow N'$ s.t.

$$\sigma e = e' \text{ and } \sigma \text{''} \hat{A} \subset \mathcal{B}' \text{''} e'(A).$$

proof.

$e': N \rightarrow N'$ and $\sigma \text{''} A \subset A' \text{''}$ where $A' = \mathcal{B}' \cap e'(A)$

Hence $\sigma = \text{int}(e', A')$ is the unique such
 function. QED

Def We denote σ by $\text{int}(A, B)$ (or
 $\text{int}(\langle \mathcal{A}, A \rangle, \langle \mathcal{B}, B \rangle)$ (or $\text{int}(N, \langle \mathcal{A}, A \rangle, \langle \mathcal{B}, B \rangle)$),
 if we wish to mention all relevant
 parameters).

Fact 15 Let $\mathcal{A}, \mathcal{B}, \mathcal{A}, \mathcal{B}, \sigma = \text{int}(A, B)$ be
 as above. Then $\langle \sigma, N', A' \rangle$ is the completion
 of $\hat{N}, \hat{\mathcal{B}}$ where $\hat{\mathcal{B}} = \sigma^{-1} \text{''} \mathcal{B}' \text{''}$.

proof.

$\hat{\mathcal{B}}$ is obviously well founded wrt. \hat{N} . We apply
 Fact 6. Conditions (a)-(c) are trivially
 satisfied. We prove (d). Let $x \in N'$.

Then $x = e'(t) \mathcal{B}'$ where $t \in N^{\mathcal{B}}$ and

if $t \in V_{\mathcal{B}}$, \mathcal{B} then $x = \sigma(\text{''} (t) \text{''} \mathcal{B}'$

where $(t) \in \hat{N}^{\hat{\mathcal{B}}}$ and $\text{int}_{\hat{\mathcal{B}}} e(t) \in V'$

QED

If $A \subseteq B$ is completely contained in B , we shall often have recourse to a function $h: B \rightarrow A$ defined by:

$$\underline{\text{Def}} \quad h(b) = h_A(b) = h_{A, B}(b) =: \bigcap \{a \in A \mid bca\}.$$

It follows easily that:

$$h(\bigcup_i b_i) = \bigcup_i h(b_i)$$

$$a \cap h(b) = h(ab) \text{ if } a \in A.$$

If \cdot is A -generic, we of course have:

$$b/A = 0 \text{ in } B/A \iff \forall a \in A \quad a \cap b = 0$$

for $b \in B$. It follows easily that:

$$b/A = 0 \iff h(b) \in A.$$

Thus $h(b) = \llbracket b^{\vee}/A = 0 \rrbracket_A$, where A° is the canonical name for an A -generic set.

$h(b) \in A$ is a necessary and sufficient condition for the existence of an UF

B on B s.t. $b \in B$ and $A \subseteq B$. (To see sufficiency, let \tilde{B} be an UF on B/A s.t. $b/A \in \tilde{B}$. Then set:

$$B = A \vee \tilde{B} =: \{b \in B \mid b/A \in \tilde{B}\}.$$

The following fact will be useful:

Fact 16 Let $A \subseteq B$ be complete BA's in N .

Let $A \subset A$ be a well founded VF on A .

Let $\langle e, \hat{N}, \hat{A} \rangle$ be the completion of N, A .

Let $b \in e(B)$ s.t. $h_{e(A)}(b) \in \hat{A}$. Then there is $d \in B$ with the properties:

- $h_A(d) \in A$

- Let B be any well founded VF on B s.t. $A \cup \{d\} \subset B$. Let $\langle e', N', B' \rangle$ be the completion of N, B . Let $\sigma = \text{int}(A, B)$. Then $\sigma(b) \in B'$.

proof.

Let $b = e(t) \hat{A}$, where $\upharpoonright_A t \in \check{V}$. Let $s \in N^B$ s.t. $\upharpoonright_B s = \check{t} (B \cap \check{A})$, where

\check{B} is the canonical B -generic name,

Set: $d = \llbracket s \in \check{B} \rrbracket_B$.

Then:

$$\begin{aligned} (1) e(d) &= \llbracket e(s) \in \check{B} \rrbracket e(B) \\ &= \llbracket e(t) (B \cap \check{A}) \in \check{B} \rrbracket_{e(B)} \end{aligned}$$

Since \hat{A} is $e(A)$ -generic over \hat{N}

and $h_{e(A)}(b) \in \hat{A}$, we can find a

$\hat{B} \supset \check{A}$ s.t. \hat{B} is $e(B)$ -generic over \hat{N} and $\hat{A} \cup \{b\} \subset \hat{B}$.

(If \hat{N} is uncountable we may have to work in the generic collapse of some cardinal in order to find \hat{B} .)

But then

$$(2) b = \dot{e}(t)^{\hat{A}} = e(t)^{\hat{B} \cap e(A)} \in \hat{B}.$$

Hence by (1):

$$(3) e(d) \in \hat{B}.$$

Hence $e(d)/\hat{A} \neq 0$ and

$$(4) h_{\hat{A}}(e(d)) \in \hat{A}.$$

But $e(h_{\hat{A}}(d)) = h_{\hat{A}}(e(d))$ and

$A = e^{-1} \hat{A}$. Hence:

$$(5) h_{\hat{A}}(d) \in A.$$

Now let $B \supset A \cup \{d\}$ be a well founded ultrafilter on N . Let $\langle e', N', B' \rangle$ be the completion of N, B . Then

$$e'(d) = \left[[e'_i] \in B' \right]_{e'(B)} \in B', \text{ where}$$

B' is $e'(B)$ -generic over N' . Hence

$$(2) e'(d)^{B'} = e'(t)^{A'} \in B', \text{ where } A' = B' \cap e'(A).$$

Let $\sigma = \text{int}(A, B)$. Then

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$\sigma: \hat{N} \hookrightarrow N'$ with $\sigma(\hat{A}) \subset A'$ where \hat{A} is
 $e(A)$ -generic over \hat{N} and A' is

$e'(A')$ -generic over N' .

Hence σ extends uniquely to a

$\sigma^*: \hat{N}[\hat{A}] \hookrightarrow N'[A']$ with $\sigma^*(\hat{A}) = A'$.

$$\begin{aligned} \text{Hence } e'(t)^{A'} &= \sigma(e(t)^{A'}) = \sigma(e(t)^{\sigma^*(\hat{A})}) \\ &= \sigma^*(e(t)^{\hat{A}}) = \sigma(b) \in B. \end{aligned}$$

QED (Fact 16)