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# Color tunable luminescence in $\text{ThO}_2:\text{Er}^{3+}, \text{Yb}^{3+}$ nanocrystals: a promising new platform for upconversion†

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Lanthanide-doped luminescent nanoparticles are an appealing system for many applications in the area of biomedical, solar cell, thermometry, anti-counterfeiting, etc. due to their sensitivity, reliability, high photochemical stability, and high optical transparency in the visible-NIR range. A color-tunable upconversion-luminescence (UCL) in a new low phonon energy  $\text{ThO}_2$  host based on modulating sensitizer concentration has been realized in this work and it may work as a potential candidate to replace corrosive and toxic fluoride based hosts in the future.  $\text{Er}^{3+}-\text{Yb}^{3+}$  co-doped thoria nanoparticles were prepared using a gel combustion route and their structural and luminescence properties were determined as a function of the  $\text{Yb}^{3+}$  concentration. Phonon dispersion measurements have established the dynamic structural stability of the thoria nanoparticles. Density functional theory (DFT) was used to calculate the defect formation energy, highlighting the feasibility of dual ion ( $\text{Er}^{3+}$  and  $\text{Yb}^{3+}$ ) doping in thoria. The morphology and average size of the doped thoria was studied using high resolution transmission electron microscopy (HRTEM), and any defects evolving as a result of aliovalent doping were probed using positron annihilation lifetime spectroscopy (PALS). With 980 nm laser excitation, the nanothoria emits green and near-red light. A significant enhancement of the red-to-green intensity ratio of  $\text{Er}^{3+}$  ions in nanothoria was observed with an increase in  $\text{Yb}^{3+}$  concentration which resulted in beautiful color tunability from green to yellow light in going from lower (up to ~5 mol%) to higher (10 and 15 mol%)  $\text{Yb}^{3+}$  concentration. The power dependence and the dynamics of the upconverted emission confirm the existence of two-photon upconversion processes for the green and red emissions.

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## 1. Introduction

Upconversion nanophosphors (UCNPs) are regularly studied in the scientific community owing to their application in many areas encompassing health, energy and the environment.<sup>1–7</sup> Their applicability has been attributed to the conversion of low energy photons to high energy photons exhibiting anti Stoke's shifts and displaying bright emission, lower autofluorescence, deeper penetration, negligible photobleaching, higher photo stability, etc.<sup>5,8</sup> The three basic requirements to achieve efficient upconversion luminescent materials are dopant, sensitizer and host matrix. In most of the reported works,  $\text{Er}^{3+}$ ,  $\text{Ho}^{3+}$  and  $\text{Tm}^{3+}$  are used as dopant ions whereas  $\text{Yb}^{3+}$  is used as the

sensitizer whenever the pumping energy is 980 nm.<sup>9,10</sup> The choice of sensitizer can vary depending upon the excitation wavelength in the upconversion process, whereas the dopant can also be changed based on the required energy conversion region. Among the lanthanide ions, the  $\text{Er}^{3+}-\text{Yb}^{3+}$  couple is commonly used for realizing efficient upconversion. Fluoride based hosts are considered to be an excellent luminescence host for UC compared to oxides owing to low phonon energy which may lower the non-radiative channels.<sup>11</sup> However, a fluoride based matrix is corrosive in nature and handling them in a normal laboratory set-up may be an issue.<sup>2,12</sup> So there is a huge demand within the scientific community working in the area of upconversion phosphors, to look for inorganic host matrices which stringently fulfil the important and necessary criteria: this includes that the host matrix should be thermally/structurally/chemically stable, should possess a wide band gap, easy to synthesize and exhibit low phonon frequency. In that context  $\text{ThO}_2$  is considered an excellent luminescence host owing to its stable crystal structure, high chemical stability, single valence state of cation and low phonon frequency.<sup>13–15</sup>

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The ability to accommodate a large amount of fluorescence active dopant ions in its open calcium fluorite structures (space group  $Fm\bar{3}m$ ) together with superior chemical and mechanical stability are additional benefits. Thorium oxide has shown tremendous potential in the area of electro and photocatalysis, in solid oxide fuel cells (SOFC), sensor materials, photoluminescence host matrix, *etc.*<sup>14,16–24</sup> Despite these advantages, there are absolutely no reports exploring thoria as an upconversion luminescence host.

Lin *et al.* have explored the optical properties of  $\text{ThO}_2$  and Eu-doped  $\text{ThO}_2$  nanotubes.<sup>25</sup> Harvey and his group on the other hand have explored the thermoluminescence (TL) of undoped and doped  $\text{ThO}_2$ <sup>26</sup> whereas our group have also worked on Eu, Dy and Tb doped  $\text{ThO}_2$  nanoparticles.<sup>16</sup> Kristianpoller *et al.* have investigated luminescence emitted during X-irradiated (XL) as well as the TL of  $\text{ThO}_2$ :Ca single crystals.<sup>27</sup> Pandey *et al.* have recently explored bismuth luminescence in thoria and proposed a dual band endowed by oxygen vacancies and  $\text{Bi}^{3+}$ .<sup>21</sup> Our group has also explored the emission of uranium ions in thoria.<sup>28</sup> But all this work deals with the conversion of high energy photons into low energy ones known as down-conversion luminescence (DCL) which curtails their applicability in the area of bioimaging owing to lower tissue penetration and harmful effects of UV photons. Here in this work for the first time we are exploring the potential of thoria nanoparticles as an  $\text{Er}^{3+}$ – $\text{Yb}^{3+}$  upconversion host. The gel-combustion synthesized<sup>29</sup> UCNPs  $\text{ThO}_2$ :1% $\text{Er}^{3+}$ ,  $x\%$  $\text{Yb}^{3+}$  ( $x = 1$ – $15$ ) were characterized using powder X-ray diffraction, Raman spectroscopy and high resolution transmission electron microscopy (HRTEM). With  $\text{Th}^{4+}$  being tetravalent and the dopant and sensitizer being trivalent in nature; we have probed the defects in such materials due to such aliovalent substitution using positron annihilation lifetime spectroscopy (PALS). Density functional theory (DFT) calculations were also carried out to calculate the phonon frequency of thoria and defect formation energy of doping  $\text{Er}^{3+}$  and co-doping  $\text{Er}^{3+}$  and  $\text{Yb}^{3+}$  in  $\text{ThO}_2$ .

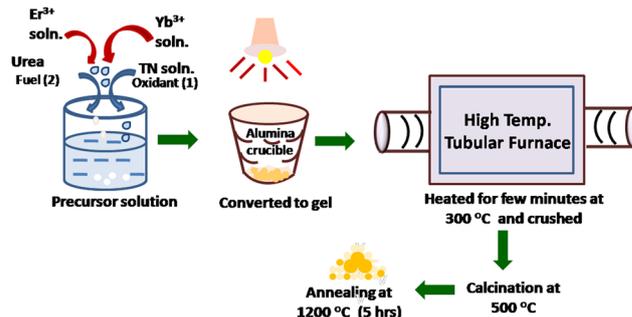
## 2. Experimental

### 2.1. Synthesis

Undoped and Er, Yb codoped  $\text{ThO}_2$  nanopowders were synthesized using a gel-combustion method using  $\text{Th}(\text{NO}_3)_4 \cdot 5\text{H}_2\text{O}$  as the oxidant and urea as the fuel in a 1:2 molar ratio using a previous procedure.<sup>13</sup> For doping with  $\text{Er}^{3+}$  and  $\text{Yb}^{3+}$ , stock solutions of the respective trivalent ions were prepared by dissolving  $\text{Er}_2\text{O}_3$  and  $\text{Yb}_2\text{O}_3$  in conc.  $\text{HNO}_3$  and the requisite amounts of the stock solutions were then added to the precursor solution of oxidant and fuel. The schematic depicting the gel-combustion synthesis of  $\text{Er}^{3+}$ ,  $\text{Yb}^{3+}$  co-doped thoria (YET) upconvertible nanoparticles (UCNPs) is shown in Scheme 1.

### 2.2. Instrumentation and computation details

X-ray diffraction (XRD) studies of the powder samples of undoped and doped thoria have been carried out on a benchtop X-ray diffractometer (Proto make) in the  $2\theta$  range of  $15$ – $80^\circ$  using Cu K $\alpha$



Scheme 1 Schematic showing gel-combustion synthesis of  $\text{Er}^{3+}$ ,  $\text{Yb}^{3+}$  co-doped thoria UCNPs.

as the X-ray source. Rietveld refinement was carried out using FullProf software. Raman spectrum was recorded on Seki's STR300 spectrometer with a laser excitation wavelength of 532 nm. TEM, HRTEM and Selected Area Electron Diffraction (SAED) patterns were taken in a field emission transmission electron microscope of JEOL make (2100F model). Positron annihilation lifetime spectra were measured with powder thoria samples under ambient conditions with a lifetime spectrometer having a time resolution of 175 ps. The spectra were analysed using PALSfit software.<sup>30</sup> The UC emission measurements were carried out using an Edinburgh Instruments Fluorimeter of series FLS 1000 which is equipped with both a visible and NIR PMT using a monochromatic diode laser of excitation wavelength 980 nm as the NIR source.

Density of states defect formation energies are calculated using DFT. More details of the calculation methodology are given in section S1 in ESI.†

## 3. Results and discussion

### 3.1. Phase analysis, density of states calculations and phonon dispersion

Fig. 1a shows the XRD pattern of undoped and  $\text{ThO}_2$ :1% $\text{Er}^{3+}$ ,  $x\%$  $\text{Yb}^{3+}$  ( $x = 1$ – $15$ ). The entire XRD pattern completely matches with the standard pattern reported for thoria with JCPDS-01-071-6407. None of the samples depicted any impurity peaks suggesting that dopants are occupying the lattice  $\text{Th}^{4+}$  site. The peaks were marginally shifted to a higher angle with doping. The lattice constants have been calculated *via* Rietveld analysis. The typical Rietveld fitted spectra are shown in Fig. 1b. All the Rietveld fitted spectra and corresponding data are shown in Fig. S1 and Table S1 of ESI.† The lattice parameters obtained are shown in the Fig. 1c and the reduction in unit cell lattice parameter with doping is in line with the ionic radii of the dopants being smaller than  $\text{Th}^{4+}$ . Further, the crystallite sizes were calculated using the Debye Scherrer equation (see S2 of ESI,† for details) and are listed in Table 1. All the samples are nano sized and smaller than 25 nm. But interestingly crystallite size decreases monotonically from  $\sim 24.4$  to 11.8 nm with an increase in doping suggesting hindrance to the crystallite growth. This is also in sync with TEM results where the average

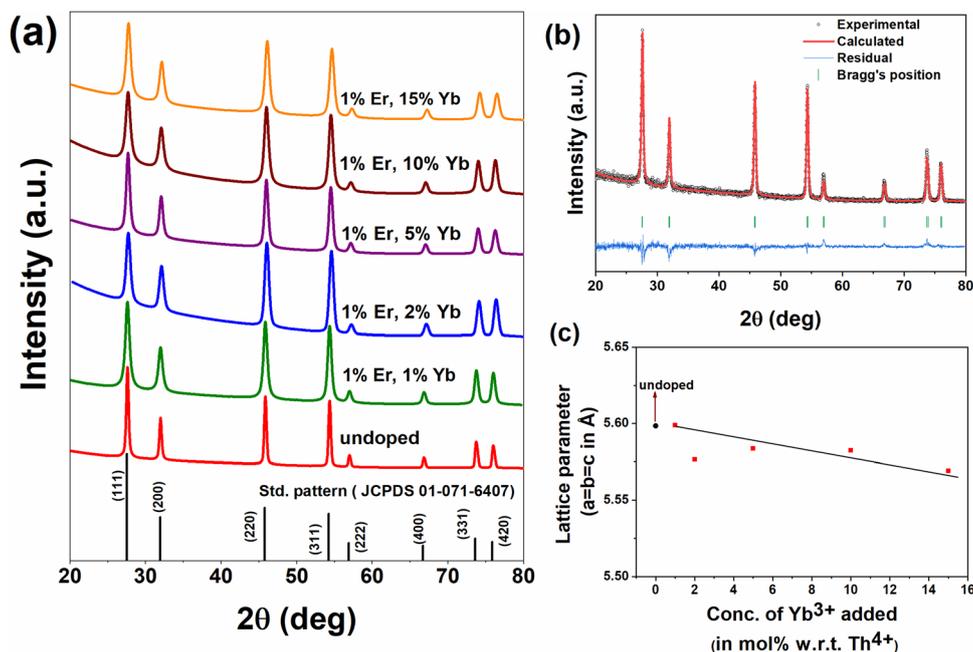


Fig. 1 (a) XRD pattern of  $\text{ThO}_2:1\% \text{Er}^{3+}, x\% \text{Yb}^{3+}$  nanophosphor ( $x = 1, 2, 5, 10$  and  $15$ ), (b) typical Rietveld fitting of the spectrum, (c) variation of lattice parameters with doping.

Table 1 Crystallite size of nanostructure  $\text{ThO}_2:1\% \text{Er}^{3+}, x\% \text{Yb}^{3+}$  ( $x = 1-15$ )

Dopant concentration in $\text{ThO}_2$ sample	Crystallite size (nm)
1%Er+1%Yb	24.4
1%Er+2%Yb	14.4
1%Er+5%Yb	13.2
1%Er+10%Yb	12.2
1%Er+15%Yb	11.8

particle size at 1%  $\text{Yb}^{3+}$  doping was 51 nm and it reduces to 28 nm when  $\text{Yb}^{3+}$  doping is raised to 15%.

All the DFT calculations have been carried out using the fluorite type structure of  $\text{ThO}_2$  (space group:  $Fm\bar{3}m$ , No. 225) (Fig. S2, ESI<sup>†</sup>). The calculated cell parameter was found to be 5.6158 Å, which is very close to the experimentally reported value.<sup>31,32</sup> The calculated band gap under the HSE level of calculation is found to be 6 eV, which is in excellent agreement with the experimentally observed value.<sup>33</sup> This justifies the choice of the present computational parameters. Fig. 2a shows the density of states (DOS) of  $\text{ThO}_2$ , which indicates that the valence band maximum (VBM) is dominated by O p states, with a small contribution from Th d and f states. On the other hand, the conduction band minimum (CBM) is contributed by Th f states along with a small contribution from the Th d and O p states. Fig. 2b shows the phonon dispersion curve for  $\text{ThO}_2$  calculated within the GGA level along the high symmetric directions of  $\Gamma-X-W-\Gamma-L$ . It can be observed that no imaginary frequencies were obtained, indicating that the  $\text{ThO}_2$  structure is dynamically stable.

### 3.2. Doping Efficacy of $\text{Yb}^{3+}$ and $\text{Er}^{3+}$ ion in $\text{ThO}_2$

Now we proceed to investigate the role of doping with Yb and Er into  $\text{ThO}_2$ . To model the (Er,Yb)-doped  $\text{ThO}_2$ , we have chosen a

96 atoms cell, and replaced one of the Th atoms with Er/Yb. For (Er,Yb)-doped  $\text{ThO}_2$ , we have considered two different structures by varying the relative distance between Yb and Er. Both the structures are energetically close to each other. The defect formation energies have been calculated using the mathematical relationship:<sup>34,35</sup>

$$E_{\text{formation}} = E_{\text{defect}} - E_{\text{perfect}} + q \sum n_X \mu_X \quad (1)$$

where,  $E_{\text{defect}}$  and  $E_{\text{perfect}}$  indicate the energies of the doped and perfect  $\text{ThO}_2$ , respectively, calculated with a similar cell size,  $\mu_X$  is the chemical potential of the element X and  $n_X$  indicates the number of elements added ( $q = -1$ ) or removed ( $q = +1$ ) to generate the doped system. The variation of defect formation energies for the doping of Yb/Er into  $\text{ThO}_2$  as a function of host chemical potential are shown in the Fig. 3. It can be observed that doping of both Yb and Er is more favorable in Th-poor condition. Interestingly, the defect formation energy is found to be reduced significantly for the cases of (Er,Yb)-doped  $\text{ThO}_2$  under Th-poor condition. This indicates that the formation of the (Er,Yb)-doped  $\text{ThO}_2$  is energetically more feasible (under Th-poor condition) than the doping with individual elements.

### 3.3. Transmission electron microscopy

TEM images of the representative  $\text{ThO}_2:1\% \text{Er}^{3+}, x\% \text{Yb}^{3+}$  ( $x = 1, 5$  and  $15$ ) are shown respectively in Fig. 4a, d and g. The formation of nanoparticles is clearly seen from these TEM images though the particles are slightly aggregated. This could be due to the large heat of combustion generated during the combustion reaction involving precursors and the fuel. We have further calculated the average size of these nanoparticles using ImageJ software and the values are 51, 47 and

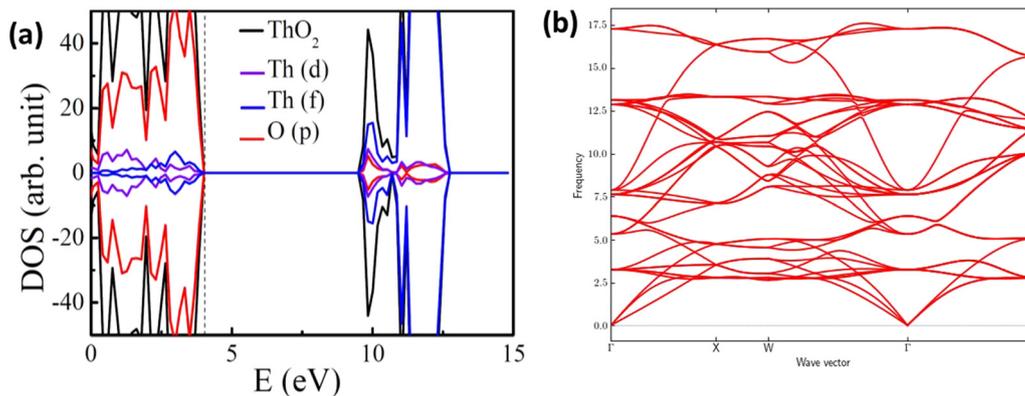


Fig. 2 (a) Density of states of  $\text{ThO}_2$ . The vertical dashed line indicates the Fermi level. (b) Phonon dispersion curve for  $\text{ThO}_2$  calculated within the GGA level where the frequency is in THz.

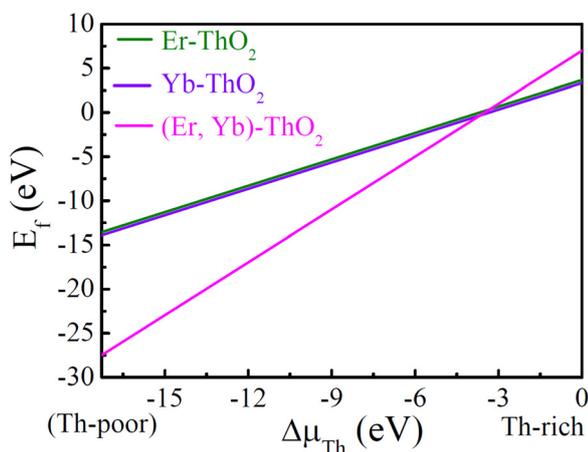


Fig. 3 Variation of defect formation energies for the doped  $\text{ThO}_2$ .

28 nm respectively for 1, 5 and 15%  $\text{Yb}^{3+}$  doping. Reduction in crystallite size with higher  $\text{Yb}^{3+}$  doping was also evident from the XRD as discussed earlier. The HRTEM images of  $\text{ThO}_2:1\%\text{Er}^{3+},x\%\text{Yb}^{3+}$  ( $x = 1, 5$  and 15) are shown respectively in Fig. 4b, e and h which clearly show the lattice fringes. The interplanar distance was obtained as 0.320 and 0.281 nm which corresponds to the (111) and (200) crystal planes in fluorite structured  $\text{ThO}_2$ .<sup>18</sup> The selected area electron diffraction (SAED) patterns shown respectively in Fig. 4c, f and i, confirm the formation of cubic phase  $\text{ThO}_2$ , and the ring patterns depict the high crystallinity of doped thorium nanoparticles. The crystal planes corresponding to the diffraction spots are marked in the figure.<sup>15</sup>

#### 3.4. Raman spectroscopy

Fig. 5 shows the Raman spectra of  $\text{ThO}_2:1\%\text{Er}^{3+},x\%\text{Yb}^{3+}$  ( $x = 1-15$ ) UCNPs. For pure thorium, a single peak in the range 460–465  $\text{cm}^{-1}$  corresponds to the  $T_{2g}$  stoichiometric fluorite structure of  $\text{ThO}_2$ , and is well reported.<sup>13</sup> In the present case, this peak is at 465  $\text{cm}^{-1}$  in the samples with lower dopant concentration and is marginally red shifted when the dopant

concentration is very high. Such a shift with dopants of different ionic radii is known in other fluorite structures like  $\text{CeO}_2$ . The other bands are mostly due to defects induced by doping with trivalent lanthanides which differ in size as well as charge, that leads to charge compensating vacancies. The Raman peaks are broader in samples with higher dopant concentration showing the increased disorder in the system. The band around 500  $\text{cm}^{-1}$  might be from oxygen vacancies. In general, the band from oxygen vacancies in thorium is reported in the range 550–580  $\text{cm}^{-1}$  and here, though speculative, it appears that the oxygen vacancies are associated with the trivalent dopants more and might form RE-Vo-RE type vacancy complexes. The Raman peak around 625  $\text{cm}^{-1}$  is due to  $\text{REO}_8$  type complexes whose intensity relative to the peak at 500  $\text{cm}^{-1}$  is reduced, due to enhanced oxygen vacancy formation.<sup>36</sup> The other bands are similar to those reported in the defect induced Raman spectra of  $\text{ThO}_2$  and  $\text{CeO}_2$ .<sup>37,38</sup>

#### 3.5. Positron annihilation lifetime spectroscopy

The positron lifetime spectra was fitted to three lifetime components as depicted in Fig. 6A and the intensity of the third component was less than 0.5%. For the other two lifetimes, the corresponding intensities and the average lifetime are given in Fig. 6B. The first positron lifetime arises due to positron annihilation in the bulk. The first positron lifetime ( $\tau_1$ ) in undoped thorium oxide is 192 ps. A positron lifetime of 184 ps with 88% intensity was reported by Upadhyaya *et al.*<sup>39</sup> in sintered thorium. The lifetime is marginally higher in the present case and the contribution to this lifetime from annihilations in oxygen vacancies could be responsible for this. The second lifetime component is due to vacancy clusters near the surface. Upon initial doping with Er and Yb, the intensity of the second positron lifetime component drastically increased from 15% to 26% showing the formation of vacancy defects near the surfaces. The XRD patterns suggest reduced crystallinity in the doped samples and this would facilitate the positron reaching the surface of the crystallites increasing this intensity. With higher doping of trivalent lanthanides, the first positron lifetime component increased and the fraction of positrons

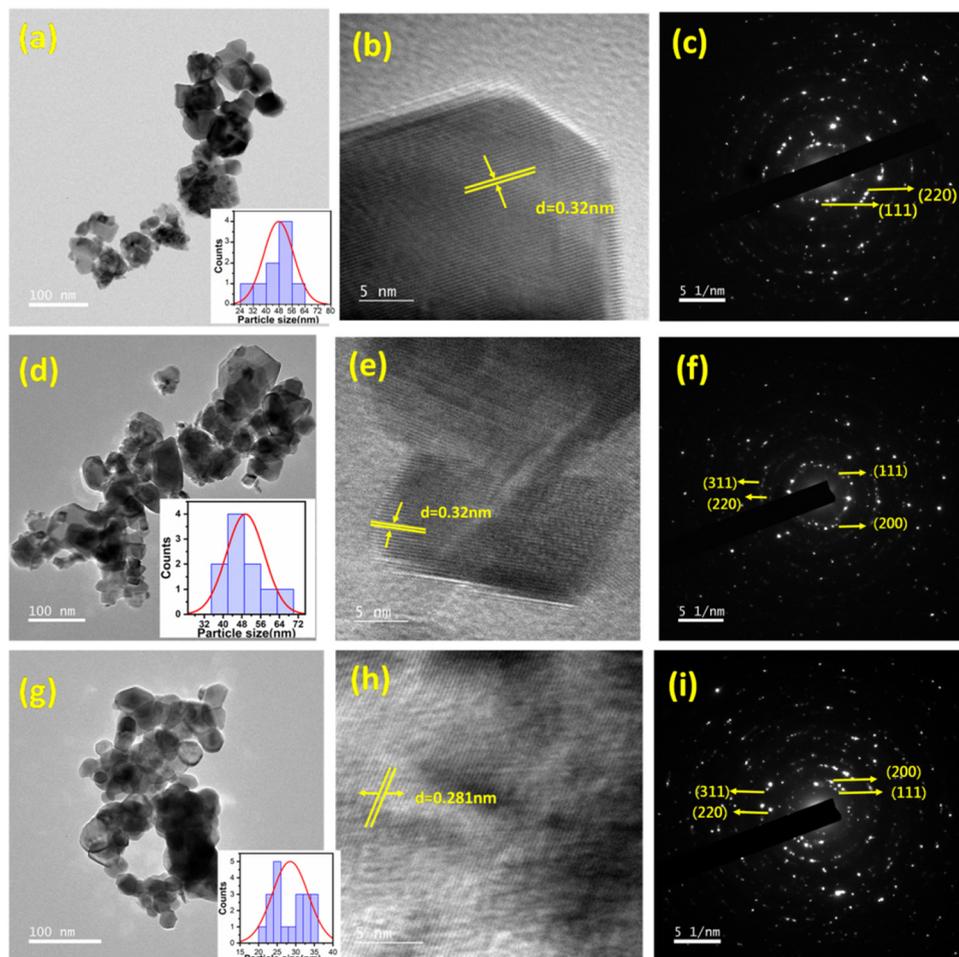


Fig. 4 (a), (d) and (g) TEM images, (b), (e) and (h) HRTEM images and (c), (f) and (i) SAED patterns of  $\text{ThO}_2:1\%\text{Er}^{3+}, X\%\text{Yb}^{3+}$  ( $X = 1, 5$  and  $15$ ) UCNPs.

reaching the surface states reduced due to the enhanced concentration of isolated oxygen in the bulk as can be seen from Fig. 6B and also supported by the increased intensity of the  $500\text{ cm}^{-1}$  peak in the Raman spectra. The magnitude of the second lifetime suggests that the size of the vacancy cluster increased, or with higher doping, the number of oxygen vacancies agglomerating near the surface increased.

### 3.6. Upconversion photoluminescence spectroscopy

The UC emission spectra in the visible region for a series of  $\text{ThO}_2:1\%\text{Er}^{3+}, x\%\text{Yb}^{3+}$  ( $x = 1, 2, 5, 10$  and  $15\text{ mol}\%$ ) samples under  $980\text{ nm}$  diode laser pumping is shown in Fig. 7a. The emission spectra depict an intense green ( $530\text{--}550\text{ nm}$ ) and red ( $670\text{ nm}$ ) emission bands, with the former having relatively higher intensity than the latter up to  $5\text{ mol}\%$   $\text{Yb}^{3+}$  doping, and situation reverses when sensitizer doping is  $10$  and  $15\%$ . This is explained in detail later in this section. These peaks are ascribed to  ${}^2\text{H}_{11/2} \rightarrow {}^4\text{I}_{15/2}$  ( $\sim 530\text{ nm}$ ),  ${}^4\text{S}_{3/2} \rightarrow {}^4\text{I}_{15/2}$  ( $\sim 550\text{ nm}$ ) and  ${}^4\text{F}_{9/2} \rightarrow {}^4\text{I}_{15/2}$  ( $\sim 670\text{ nm}$ ) transitions of the trivalent erbium ion. An enlarged version of the  $5\text{--}10\%$   $\text{Yb}^{3+}$  co-doped samples UC spectra is shown in Fig. 7b for better visualization. Severe stark splitting of these electronic levels is

evident from the UC emission spectra which could be attributed to the crystalline local field of the cubic thorium oxide with defect fluorite structure. The visible emission here on absorption of  $980\text{ nm}$  photons, arises through energy transfer from the  $\text{Yb}^{3+}$  (sensitizer) to the  $\text{Er}^{3+}$  (dopant) promoting electrons from the ground to the various excited states. Also, the emission intensity of the UC phosphor was investigated with varying  $\text{Yb}^{3+}$  ion concentration wherein the  $\text{Er}^{3+}$  concentration was fixed at  $1\text{ mol}\%$ , and the concentration of the  $\text{Yb}^{3+}$  ion was changed from  $1$  to  $15\text{ mol}\%$ . But to our surprise at  $2.0\text{ mol}\%$  concentration, quenching happened. This can be seen from Fig. 7c which clearly depicts the monotonic reduction in overall upconversion intensity (for both green and red bands) as a function of  $\text{Yb}^{3+}$  concentration. This could be understood by taking into account two phenomenon which are happening beyond  $1.0\text{ mol}\%$ : (A) at higher concentration of  $\text{Yb}^{3+}$  ions, the large photon flux of  $980\text{ nm}$  wavelength will be absorbed and more energy transferred by excited photons; and (B) at higher  $\text{Yb}^{3+}$  doping levels it can act as a trapping level and dissipate energy through non-radiative pathways. So here the concentration quenching happening beyond  $1.0\text{ mol}\%$  of  $\text{Yb}^{3+}$  ions is ascribed to process (B) which may be more dominant

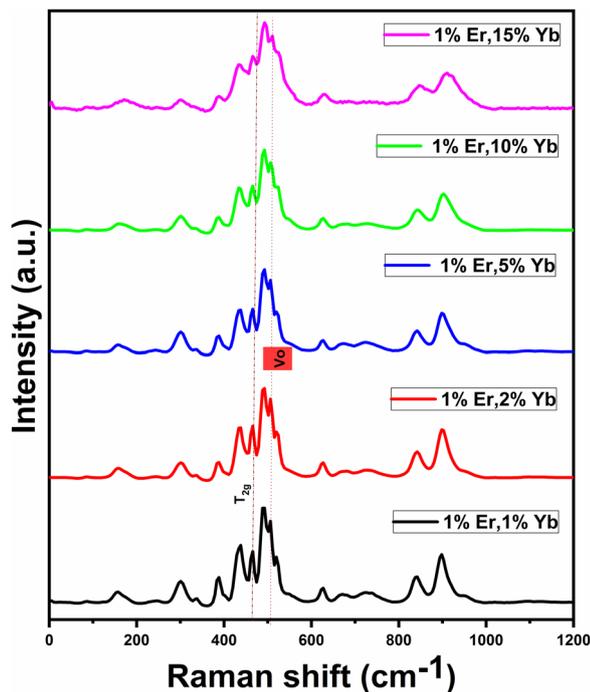


Fig. 5 Raman spectra of  $\text{ThO}_2:1\%\text{Er}^{3+},x\%\text{Yb}^{3+}$  nanophosphor ( $x = 1, 2, 5, 10$  and  $15$ ).

than process A. The other possible reason could be higher density of creation of charge, compensating the defects from aliovalent substitution of  $\text{Yb}^{3+}$  on  $\text{Th}^{4+}$  site in the form of oxygen vacancies which may provide additional pathways for non-radiative transitions and degrade the upconversion intensity. This proportionally increases with increasing  $\text{Yb}^{3+}$  concentration and the formation of oxygen vacancies is well supported by the positron annihilation lifetime spectroscopy results.

The red to green ratio (R/G) is very informative in terms of designing color tunable UC phosphors. Here in this case we have also calculated the R/G ratio at different  $\text{Yb}^{3+}$  concentrations and plotted the same in Fig. 8a. Interestingly it was seen that in the lower concentration domain of the  $\text{Yb}^{3+}$  ion of 1–5%; the green intensity was overpowering the red emission (red and

black UC spectra in the lower left side inset) whereas at 10–15%; the red intensity is much higher than the green intensity (green and pink UC spectra in the top right side inset).

Based on earlier publications on phosphor with lower doping levels of sensitizer;  $\text{Yb}^{3+}$  ions find it difficult to substantially populate  $^4\text{I}_{11/2}$  and  $^4\text{F}_{7/2}$  energy levels,<sup>40</sup> therefore, the excited  $\text{Er}^{3+}$  ions occupying  $^4\text{F}_{7/2}$  level will prefer to relax to the mixed  $^2\text{H}_{11/2} + ^4\text{S}_{3/2}$  states leading to more green emission than the red ones. This can be clearly seen from Fig. 8a in the R/G plot as well as UC spectral plots. However, when  $\text{Yb}^{3+}$  concentrations exceed 5.0 mol%, the mechanism of UC emission changes. At higher sensitizer doping, the  $\text{Yb}^{3+} \rightarrow \text{Er}^{3+}$  energy transfer process becomes more facile to populate the excited levels of trivalent erbium ions, providing an additional pathway for cross relaxation (CR1) to populate preferably the  $^4\text{F}_{9/2}$  level associated with the red UC band. This CR1 pathways would be:  $\text{Er}^{3+} (^4\text{F}_{7/2}) + \text{Er}^{3+} (^4\text{I}_{11/2}) \rightarrow \text{Er}^{3+} (^4\text{F}_{9/2}) + \text{Er}^{3+} (^4\text{F}_{9/2})$ <sup>41</sup> which would lead to enhanced red UC emission with respect to green emission bands in thoria nanoparticles.

The beautiful color tuning in  $\text{ThO}_2:1\%\text{Er}^{3+},x\%\text{Yb}^{3+}$  nanophosphor ( $x = 1, 2, 5, 10$  and  $15$ ) as a function of  $\text{Yb}^{3+}$  concentration is also perceived in the value of color coordinates evaluated and mentioned in Table S2 (ESI<sup>†</sup>). It can be seen from this table that the values are quite different in the lower  $\text{Yb}^{3+}$  concentration regime (1–5%) and higher  $\text{Yb}^{3+}$  concentration (10 and 15%). The chromaticity diagram of these nanophosphors at different  $\text{Yb}^{3+}$  concentrations is shown in Fig. 8b. It can be clearly seen that color is tuned from green in the lower  $\text{Yb}^{3+}$  concentration regime (1–5%) to yellow at  $\text{Yb}^{3+}$  concentration (10 and 15%).

### 3.7. Pump power dependent upconversion

For studying the UC mechanism involved in the materials, the pump power dependence on two of the representative samples  $\text{ThO}_2:1\%\text{Er}^{3+},1\%\text{Yb}^{3+}$  and  $\text{ThO}_2:1\%\text{Er}^{3+},15\%\text{Yb}^{3+}$  has been carried out. The number of photons involved in the UC emission was obtained from the following relation:<sup>6</sup>

$$I_{\text{UC}} \propto P_{\text{Ex}}^n \quad (2)$$

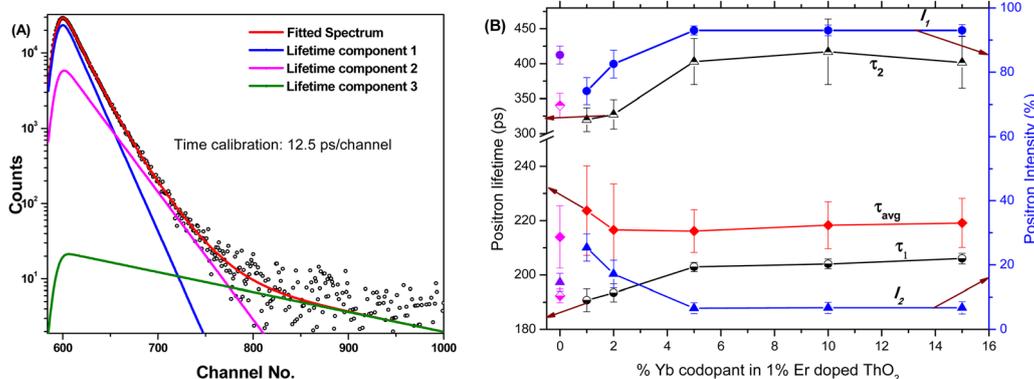


Fig. 6 (A) Typical fitting of PAL spectrum showing extraction of the positron lifetimes (B) positron lifetimes and intensities in doped thoria samples, the data corresponding to undoped thoria are shown at x-coordinate of '0'.

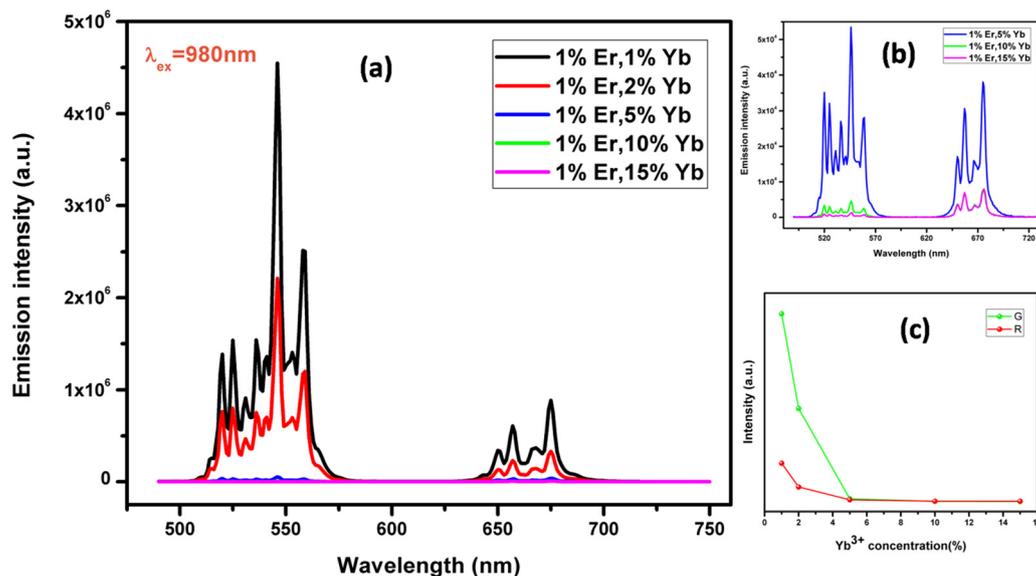


Fig. 7 (a) UC emission spectra, (b) magnified UC spectra of  $\text{ThO}_2:1\%\text{Er}^{3+}, x\%\text{Yb}^{3+}$  nanophosphor with  $x = 5, 10$  and  $15$  and (c) variation of red and green emission intensity with  $\text{Yb}^{3+}$  concentrations,  $\text{ThO}_2:1\%\text{Er}^{3+}, x\%\text{Yb}^{3+}$  nanophosphor ( $x = 1, 2, 5, 10$  and  $15$ ).

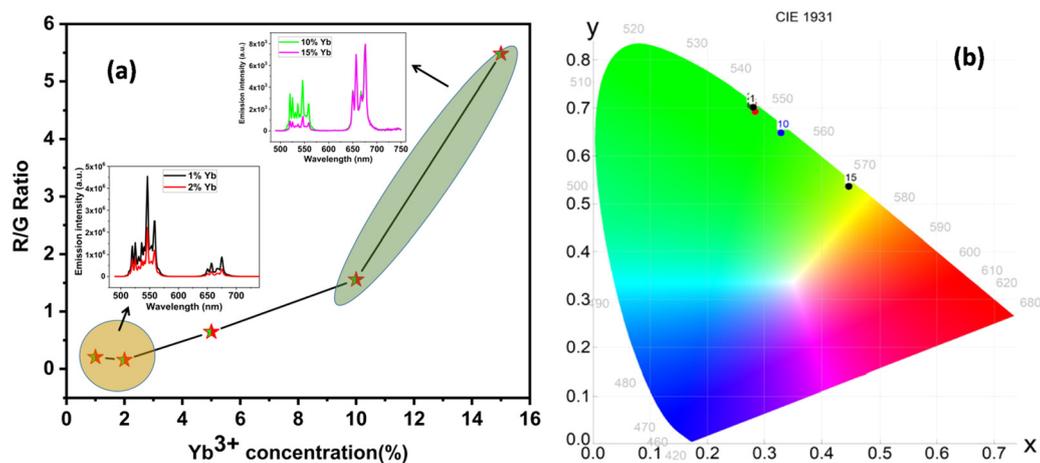


Fig. 8 (a) Variation of red to green emission ratio. Insets show UC spectra in the low and high concentration regions of  $\text{Yb}^{3+}$  sensitizer, and (b) color coordinate diagram depicting variation in CIE values with  $\text{Yb}^{3+}$  concentrations of  $\text{ThO}_2:1\%\text{Er}^{3+}, x\%\text{Yb}^{3+}$  nanophosphor ( $x = 1, 2, 5, 10$  and  $15$ ).

where  $I_{\text{UC}}$  represents the intensity of UCL,  $P_{\text{Ex}}$  is the excitation power and  $n$  is the number of photons involved in the UC process. Fig. 9a shows the UC emission spectra of  $\text{ThO}_2:1\%\text{Er}^{3+}, 1\%\text{Yb}^{3+}$  with different laser power starting from 310 to 2820 mW. With an increase in laser power the emission intensity is also increased up to 2200 mW. It can be seen that green emission is dominant compared to red emission in this particular composition of Yb and Er at all laser powers. Fig. 9b shows the UC emission spectra of  $\text{ThO}_2:1\%\text{Er}^{3+}, 15\%\text{Yb}^{3+}$  with different laser power starting from 310 to 2820 mW and here the red emission is dominant over the green emission. This can be explained on the basis of the cross relaxation mechanism  ${}^4\text{F}_{7/2} + {}^4\text{I}_{11/2} \rightarrow {}^4\text{F}_{9/2} + {}^4\text{F}_{9/2}$  which increases the  ${}^4\text{F}_{9/2}$  level population,<sup>42</sup> as discussed earlier. With an increase in the laser power the emission intensity enhanced up to 651 mW, after which a reduction in intensity was observed. The reduction in

UC emission intensity at elevated pump power is ascribed to laser induced heating which enhances the multiphonon relaxation rate and causes a reduction in the radiative transitions.<sup>43</sup>

The log-log plot of laser excitation power and integrated emission intensity is shown in Fig. 9c. It can be seen that the number of photons ( $n$ ) involved in the UC process is obtained as 1.52 and 1.66 for green and red emission which is much higher than 1, so the upconversion in thoria nanoparticles is a biphotonic process. In this two-photon UC, the green emitting levels  ${}^2\text{H}_{11/2}$  and  ${}^4\text{S}_{3/2}$ , are populated through the energy transfer upconversion mechanism, whereas the red emitting state,  ${}^4\text{F}_{9/2}$ , is subsequently populated *via*  ${}^2\text{H}_{11/2}$ ,  ${}^4\text{S}_{3/2} \rightarrow {}^4\text{F}_{9/2}$  multiphonon relaxation. The decrease in the slope value at higher laser power is also explained by Nascimento *et al.*<sup>44</sup> Due to competition between linear decay and the UC process,

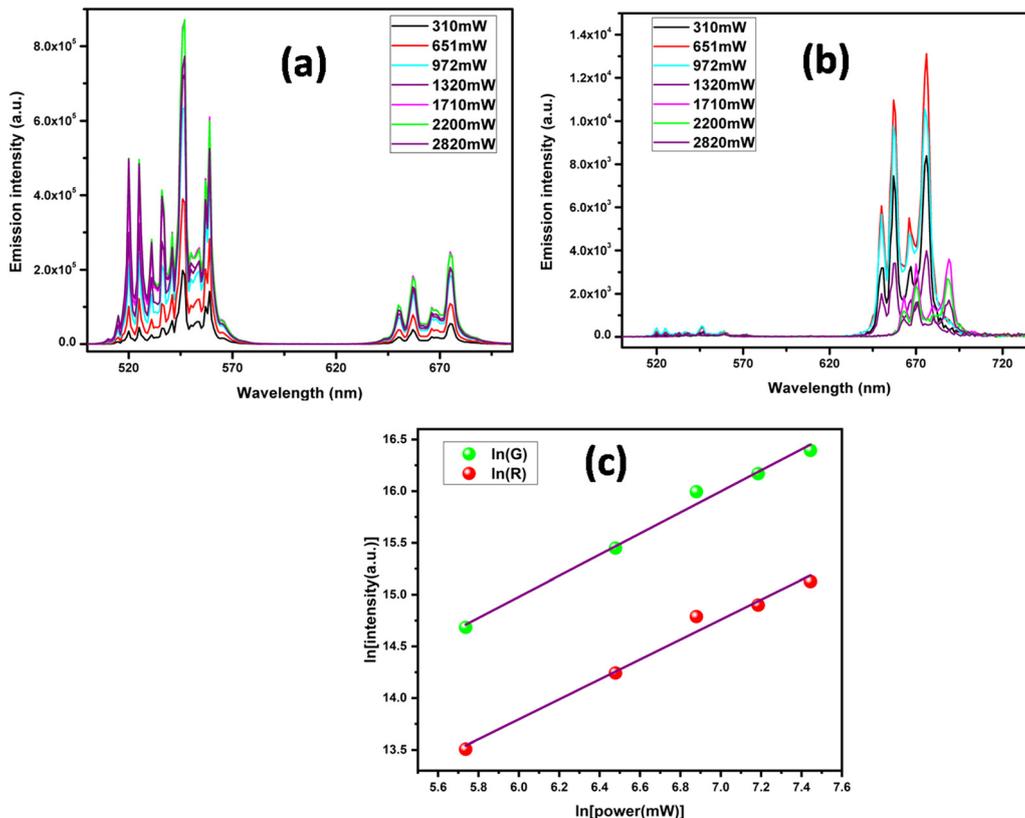


Fig. 9 UC emission spectra of (a)  $\text{ThO}_2:1\%\text{Er}^{3+},1\%\text{Yb}^{3+}$ , (b)  $\text{ThO}_2:1\%\text{Er}^{3+},15\%\text{Yb}^{3+}$  and (c) dependence of pump power on green and red emission in  $\text{ThO}_2:1\%\text{Er}^{3+},1\%\text{Yb}^{3+}$ .

saturation effects dominate at higher laser power which reflects in the reduction of slope value.

Fig. 10 represents the decay curve of  $\text{ThO}_2:1\%\text{Er}^{3+},x\%\text{Yb}^{3+}$  ( $x = 1, 3, 5, 10$  and  $15$ ) samples with an excitation wavelength of  $980\text{ nm}$  and emission wavelength of  $676\text{ nm}$ . The decay follows a bi-exponential decay as in the following equation:<sup>45</sup>

$$I = A_0 + A_1 \exp(-t/T_1) + A_2 \exp(-t/T_2) \quad (3)$$

where  $T_1$  and  $T_2$  are the lifetime of the fast and slowly decaying components, respectively,  $A_1$  and  $A_2$  are the fitting parameters and  $A_0$  is the background or zero-offset. The fitted lifetime values are shown in Table S3 of ESI.† Inset of Fig. 10 shows the variation in average fluorescence lifetimes with Yb concentration. It can be seen that with increasing concentration of  $\text{Yb}^{3+}$  from  $1.0$  to  $2.0\text{ mol}\%$  the lifetime value also increases. With further increase in the concentration of  $\text{Yb}^{3+}$  beyond  $2.0\text{ mol}\%$  the lifetime value reduces. This suggests that the UC luminescence lifetime of the selected red emissions exhibit a decreasing trend with the increase in sensitizer concentration beyond  $2.0\text{ mol}\%$ . This photophysical process indicated that increasing  $\text{Yb}^{3+}$  concentration may invoke an additional mechanism to quench  $^4\text{S}_{3/2}$  and  $^4\text{F}_{9/2}$  transition emission. This observation can be explained on the basis of back energy transfer (BET) from  $\text{Er}^{3+}$  to  $\text{Yb}^{3+}$ . After excitation, the  $^4\text{F}_{7/2}$  and  $^2\text{H}_{11/2}$  of  $\text{Er}^{3+}$  can transfer energy to  $\text{Yb}^{3+}$  ions in the ground state and on increasing the concentration of  $\text{Yb}^{3+}$ , the back

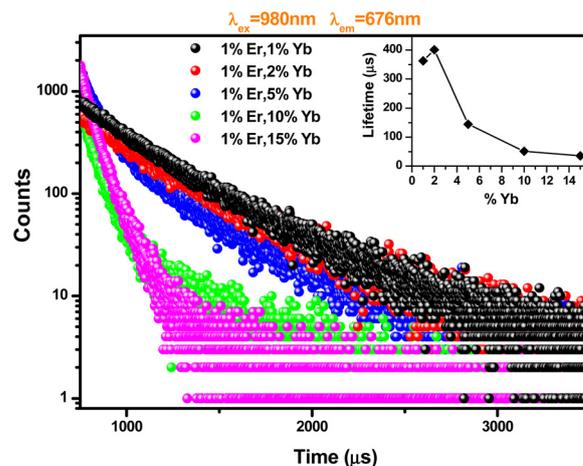


Fig. 10 UC luminescence decay profile of  $\text{ThO}_2:1\%\text{Er}^{3+},x\%\text{Yb}^{3+}$  nano-phosphor ( $x = 1, 2, 5, 10$  and  $15$ ). Inset shows the variation in average fluorescence lifetimes with Yb doping.

energy transfer become stronger and leads to the reduction in the lifetime value.<sup>40</sup>

## 4. Conclusion

A color-tunable upconversion-luminescence in a new low phonon energy  $\text{ThO}_2$  host based on modulating sensitizer concentration

has been realized in this work. The high dynamic stability of the thoria structure is validated using phonon dispersion calculation. ThO<sub>2</sub> doped with Er<sup>3+</sup> and varying concentrations of Yb<sup>3+</sup> ions have been synthesized using the gel-combustions route. DFT calculated defect formation energy shows that doping with both these ions is highly energetically favourable in thoria. The phase purity and the crystal structures have been characterized by powder XRD and Raman spectroscopy. TEM images show the formation of spherical nanoparticles in the size domain ~20–50 nm. Raman spectroscopy and PALS have suggested enhanced oxygen vacancy formation at higher Yb<sup>3+</sup> concentrations which lead to a reduction in UCL intensity at concentrations higher than 1% Yb<sup>3+</sup>. The oxygen vacancies are associated with the trivalent dopants more and might form RE-Vo-RE type vacancy complexes. With 980 nm laser excitation, color-tunable UC luminescence from green to yellow was easily achieved by tuning the doping concentration of Yb<sup>3+</sup> from 1.0 to 15% in the system ThO<sub>2</sub>:1%Er<sup>3+</sup>,x%Yb<sup>3+</sup>. Based on the UCL dependence on the laser power, both the green and red emission band could be attributed to two-phonon absorption. Our work suggests that thoria can be utilized for other upconverting rare earth ions with improved color hue and brightness and can be potential materials for UC based white lighting and optoelectronic devices.

## Conflicts of interest

There are no conflicts of interest to declare.

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