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# Highly red luminescent stabilized tetragonal rare earth-doped HfO<sub>2</sub> crystalline ceramics prepared by sol-gel

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#### ABSTRACT

We report high incorporation of rare earth ions ( $RE^{3+}$ ) into hafnia nanoparticles prepared by the sol-gel method and investigate how these dopants affect hafnia structure and phase transformation. An ethanolic suspension containing 5-nm hafnia nanoparticles was obtained from HfOCl<sub>2</sub>.8H<sub>2</sub>O in ethanol. Pure and 0.1–7 mol%  $Eu^{3+}$ -doped materials afforded HfO<sub>2</sub> monoclinic phase, whereas hafnia nanoparticles added with 10 and 20 mol%  $Eu^{3+}$  were stabilized in the tetragonal phase. Structural evolution of the nanoparticles was analyzed by  $Eu^{3+}$  luminescence spectroscopy and excited level lifetimes. The emission spectra in the visible region showed an increase of the  $Eu^{3+}$  site symmetry due to hafnia phase transformation from monoclinic to tetragonal upon increasing  $Eu^{3+}$  concentration. Concentration quenching, followed by lifetime measurements, occurred at high  $Eu^{3+}$  concentration (20 mol %). The hafnia tetragonal phase was stabilized with non-optically active  $Eu^{3+}$  (a fixed concentration of 10 mol %), co-doped with a lower concentration of  $Eu^{3+}$  ions (from 0.1 to 3 mol %). This strategy ensured that  $Eu^{3+}$  luminescence in tetragonal hafnia was intense and prevented quenching by the high  $Eu^{3+}$  concentration. In this sense, the hafnia structure and emission properties can be tailored by the  $Eu^{3+}$  concentration, so that an interesting material for applications in photonics and biophotonics can be achieved.

## 1. Introduction

Due to its interesting physical and chemical properties, hafnium dioxide (HfO<sub>2</sub>) is a promising and versatile material with potential application in engineered ceramics, electronic materials, optoelectronics, and solid electrolytes, to name a few. High chemical and thermal stability, high mechanical resistance, high melting point (2800 °C), and high phase transition temperatures are desirable properties in hightemperature refractory materials acting as ultra-high temperature ceramics for use in the thermal oxidation of protection layer systems and thermal barrier coatings [1-7]. In addition, HfO2 has high neutron cross-section absorption coefficient, which is useful in the nuclear industry [8]. The high HfO<sub>2</sub> dielectric constant ( $\varepsilon = 16-70$ , depending on the crystalline phase) [9] makes it an excellent candidate to substitute SiO<sub>2</sub> in high-k gate dielectrics in complementary metal-oxide semiconductors (CMOS) [10]. Over the last decade, interest in this particular host has grown mostly because of its ferroelectric properties, not to mention that these systems are suitable for memory applications, ferroelectric random-access memory (FeRAM), and ferroelectric field-effect transistor (FeFET) [11-13].

Besides these properties,  $HfO_2$  has characteristics that allow it to be employed as optical material. It has high refractive index ( $n\sim2.1$  at 550

nm) [14,15] and wide band gap (5.3–5.9 eV) [16], transparency in the near-UV (below 300 nm) and IR (10 µm) regions [14], and low phonon energy (<700 cm<sup>-1</sup>) [17]. Furthermore, HfO<sub>2</sub> is a suitable host for lanthanide ions, and high concentrations of these ions can be incorporated into this host [18]. For optical applications, HfO<sub>2</sub> can be used in combination with SiO<sub>2</sub> layers, to form high index contrast multilayer structures with high laser damage thresholds; this material can also be employed as anti-reflex coating [19,20]. Moreover, HfO<sub>2</sub>-based materials are excellent candidates for optical amplification and planar waveguides. In fact, Er3+-doped SiO2-HfO2 is one of the best systems for 1.5-µm applications in the telecommunication field—it is an effective waveguide with broad bandwidth (~50 nm), low attenuation coefficient  $(0.8 \text{ dB/cm at } 1.5 \,\mu\text{m})$ , and efficient luminescence [18,21–25]. The high density of HfO<sub>2</sub> (9.68 g/cm<sup>3</sup>) and its high atom number (Z = 72,  $Z_{eff} =$ 67.2) [26–29] make it an attractive host for heavy scintillators, aiming at applications in bioimaging, radioluminescence, and dosimetry [30-34]. Combined with its non-toxicity and inertness to living organisms, HfO2-based systems could be applied for in vivo diagnosis and therapy [35-39].

Although  $\rm ZrO_2$ -based materials have been widely studied, the analogous oxide  $\rm HfO_2$  has gained attention over the years. Hafnium and zirconium have almost identical properties and are known as the twins

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of the periodic table. The atomic radii, and thus the ionic radii, of both elements are quite similar ( $Zr^{4+} = 0.84 \text{ Å}$ , and  $Hf^{4+} = 0.83 \text{ Å}$ , for coordination number (CN) = 8) [40] as a result of the so-called lanthanide contraction. Consequently, ZrO2 and HfO2 have analogous chemical properties. Like ZrO<sub>2</sub>, HfO<sub>2</sub> has three polymorphs at normal pressure: monoclinic, tetragonal, and cubic. In a pure ZrO2/HfO2 ceramic, the monoclinic phase is stabilized at room temperature, while the tetragonal and the cubic phases only arise at very high temperature. HfO<sub>2</sub> phase transformation from the monoclinic to the tetragonal structure and from the latter structure to the cubic structure occurs at 1720 and 2600 °C, respectively, and the cubic phase is stable up to a melting point of 2800 °C [8]. HfO<sub>2</sub> has higher phase transformation temperatures than ZrO<sub>2</sub>, so it is a strong candidate to replace ZrO<sub>2</sub>-based materials, especially for applications in high-temperature ceramics [8]. Additionally, the technological importance of the tetragonal and cubic polymorphs is well-known (e.g., the higher k values of these phases), so stabilization of these phases at low temperature is desirable [41,42].

Addition of ions with lower valence than Hf<sup>4+</sup>; i.e., divalent or trivalent ions, can fully (or partially) stabilize the HfO<sub>2</sub> tetragonal and cubic phases at low temperature, to form solid solutions. The stabilization mechanisms resemble the stabilization mechanisms of ZrO<sub>2</sub> [43–45]. Incorporation of dopants into HfO<sub>2</sub> creates defects and oxygen vacancies due to differences in charge and ionic radii between the dopants and Hf<sup>4+</sup>. The more Hf<sup>4+</sup> ions are substituted for heterovalent dopants, the higher the increase in the concentration of oxygen vacancies for charge compensation, thereby stabilizing the tetragonal and cubic phases [46,47]. These vacancies are randomly arranged in the local surroundings of Hf<sup>4+</sup>, creating several slightly different sites with diverse coordination [48]. Given that the luminescent properties of lanthanide ions strongly depend on the crystalline structure of the host, these different arrangements directly reflect on their emission. Eu<sup>3+</sup>, which has unique luminescent properties due to its specific levels and assigned electronic transitions, can be used as a structural probe and is an excellent tool to identify phase transformations. Analysis of the relative intensity of the Eu  $^{3+}$   $^5D_0 \!\!\to^7\!\! F_J$  (J = 0–6) transitions and of the number of Stark components of the  ${}^{7}F_{0-4}$  levels allows the local structure of the host to be explored and the symmetry sites where Eu<sup>3+</sup> is located to be studied [49].

Tailoring the desired  $HfO_2$  phase by introducing rare earth dopants ( $RE^{3+}$ ) depends on the concentration and ionic radius of these ions [46]. In general,  $RE^{3+}$  are highly soluble in these substitutional solid-solution  $RE_2O_3$ - $HfO_2$  systems. The monoclinic, tetragonal, and cubic fluorite-type phases are stabilized upon increasing  $RE^{3+}$  concentration (up to 80 mol%  $RE^{3+}$  [46]) without clusters being formed. Therefore, these systems have attracted attention as very efficient luminescent systems where concentration quenching processes are avoided [50]. In addition, more than one type of dopant can be incorporated, enabling phase formation and optical properties to be controlled, to boost the intensity of  $RE^{3+}$  luminescence [18,29,31,51].

In this sense, here we report a detailed study of RE<sup>3+</sup>-doped HfO<sub>2</sub> colloidal suspensions and powders prepared by the sol-gel method. We describe the structural changes and stabilization of the crystalline phases of the different  $HfO_2$  polymorphs as a function of the  $RE^{3+}$  concentration. We also investigate the luminescent properties of the systems by varying the Eu<sup>3+</sup> concentration and following the structural changes in their emission spectra, with Eu<sup>3+</sup> serving as structural probe. We show how we have tailored the structure of the HfO2 host by stabilizing the tetragonal phase at low temperature after incorporation of nonluminescent La<sup>3+</sup> at a fixed concentration of 10 mol% and varied Eu<sup>3+</sup> concentration, in order to ensure that the desired structural phase is formed while preventing concentration quenching. In fact, this approach allowed us to achieve phase control with incorporation of high RE<sup>3+</sup> concentration, proving that the dopants are highly soluble in the host, while luminescence quenching is negligible. By combining phase control and great luminescent features, we have been able to design an interesting system for optical applications in photonics

biophotonics.

## 2. Experimental procedure

## 2.1. Preparation of colloidal suspension

Hafnia nanoparticles were prepared from a suspension of HfOCl $_2$  in ethanol (0.4 M). The mixture was kept under reflux for 2 h. The optimized reflux conditions were 90 °C for 1 h, which gave a transparent solution of particles with diameter of 2–8 nm (measured by photon correlation spectroscopy (PCS) and high-resolution transmission electronic microscopy (HRTEM)). To obtain RE $^{3+}$ -doped HfO $_2$ , LnCl $_3$  (Ln = Eu or La) was added to the reflux, and the same treatment was applied. HfO $_2$  doped with 0.1–20 mol % Eu $^{3+}$  and co-doped with 10 mol % La $^{3+}$  and 0.1–3 mol% Eu $^{3+}$  were obtained.

## 2.2. Preparation of powders

 $\rm Eu^{3+}$ -doped and  $\rm La^{3+}/Eu^{3+}$  co-doped  $\rm HfO_2$  powders were prepared by addition of NH<sub>4</sub>OH to an ethanolic suspension of hafnium oxychloride, which immediately gave non-transparent gels. The resulting gels were isolated by centrifugation, washed with water several times, dried, and annealed at 700 or 900  $^{\circ}\rm C$  for 2 h.

## 2.3. Characterization

To observe the average diameter, the particles of the colloidal suspension were measured by PCS (Brookhaven equipment with a laser of 543.5 nm) and HRTEM (HRTEM-CM200 FEG, Philips). The powders were characterized by X-ray diffraction (XRD) recorded on a diffractometer (D-5005 S) operating with a CuK $\alpha$  filtered line. The  $2\theta$  values ranged from 5 to  $70^\circ$ ; the scanning rate was  $0.02^\circ$  s $^{-1}$ .

The spectroscopic measurements were performed at room temperature on a Spectrofluorimeter HITACHI, F-3010. A 150-W Xe lamp was used as the excitation source, and a photomultiplier was employed as detector. A simple monochromator with 1.5-nm was used. Other measurements were accomplished on a Spectrofluorimeter SPEX, Fluorolog F212l, equipped with a 450-W Xe lamp, double monochromator model 1680, and a Hamamatsu R928 photomultiplier.

## 3. Results and discussion

We characterized the colloidal suspensions by PCS, to observe the presence of nanoparticles, and HRTEM, to determine the size, structure, and morphology of the colloids. Fig. 1b shows the typical size distribution of the system. The nanoparticles measure between 5 and 10 nm, irrespective of the Eu $^{3+}$  concentration. Fig. 1a shows nanocrystals measuring 4–6 nm. The interplanar distance, 3.17 Å (hkl 111 for monoclinic HfO $_2$  (JCPDS 34-104)), suggests the presence of HfO $_2$  in the monoclinic structure. An amorphous phase also emerges along with the crystalline particles, but aggregates are absent. Fig. 1b represents the narrow size distribution of HfO $_2$  nanoparticles doped with 1 mol% Eu $^{3+}$ , and Table 1 lists the mean size measured by PCS with increasing Eu $^{3+}$  concentration in the HfO $_2$  host.

XRD was employed to analyze the structure of the powders obtained through hydrolysis followed by annealing at 700 °C. Fig. 2 shows the diffractograms of pure and  $\rm Eu^{3+}$ -doped  $\rm HfO_2:Eu^{3+}$  concentrations range from 0.1 to 20 mol%.

The HfO<sub>2</sub> monoclinic phase, space group  $P2_1/c$  (ICSD collection code 27313, JCPDS 34-104) was identified for pure HfO<sub>2</sub> and HfO<sub>2</sub> added with a small quantity of Eu³+ (0.1 or 1.0 mol %). The unit cell dimensions are a = 5.117, b = 5.175, and c = 5.292 Å;  $\beta$  = 99.216° [53]. In this structure, Hf⁴+ is coordinated with seven oxygen atoms; the oxygen atoms are non-equivalent and alternate between three- and fourfold coordination. The fourfold oxygens form the base of a cube, with average Hf–O distances of 2.197 Å. The threefold oxygens are arranged

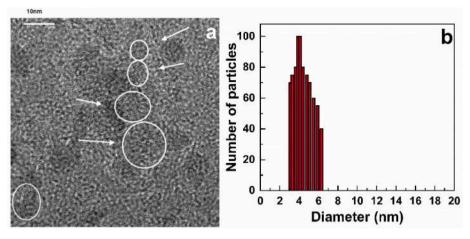


Fig. 1. a) HRTEM micrography of the colloidal suspension of Eu<sup>3+</sup>-doped HfO<sub>2</sub> and b) size distribution of HfO<sub>2</sub> nanoparticles doped with 1 mol% Eu<sup>3+</sup>.

Table 1 Mean size of pure and  ${\rm Eu}^{3+}$ -doped  ${\rm HfO}_2$  nanoparticles in colloidal suspension observed by PCS measurements.

Eu <sup>3+</sup> concentration (mol %)	Mean size (nm)		
-	6.3		
1	5.5		
5	8.0		
7	7.8		
10	4.7		
20	9.0		

as one oxygen atom at the upper corner and two oxygen atoms in the middle of the edges of the cube; however, the average Hf–O bond distance is shorter: 2.086 Å [54]. The primitive cell contains four HfO $_2$  formula units [55].

Addition of 10–20 mol%  $Eu^{3+}$  affords a stabilized  $HfO_2$  tetragonal phase, space group  $P4_2/nmc$  (ICSD collection code 173966), with unit cell parameters a=3.577 and c=5.200 Å. The  $HfO_2$  tetragonal phase resembles the  $ZrO_2$  tetragonal phase [8], so an analogy can be made. The tetragonal phase is a distortion of the ideal fluorite-cubic structure [56]. In this structure,  $Zr^{4+}$  is coordinated with eight oxygen atoms. Four oxygen atoms are in an elongated tetrahedron, whereas the other four oxygen atoms are in a flattened tetrahedron; the Zr–O distances are 2.455 and 2.065 Å, respectively. The second tetrahedron is rotated by  $90^{\circ}$  in relation to the first tetrahedron [56]. In sum, a tetragonal solid solution arises for  $HfO_2$  with higher  $Eu^{3+}$  concentration (>10 mol%), while 5 and 7 mol%  $Eu^{3+}$ -doped  $HfO_2$  contain a mixture of the monoclinic and tetragonal phases. A previous work described a similar structural behavior for 0.1, 1, and 10 mol%  $Er^{3+}$ -doped  $HfO_2$  [18].

As mentioned previously, the tetragonal and cubic structures can be

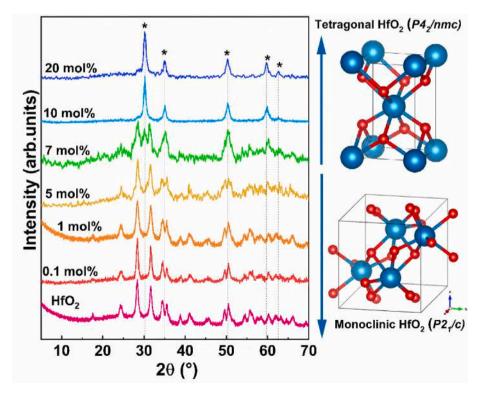


Fig. 2. X-ray diffractograms of pure  $HfO_2$  and 0.1–20 mol%  $Eu^{3+}$ -doped  $HfO_2$  annealed at 700 °C. The tetragonal phase planes are identified with (\*). Standard visualization of the tetragonal and monoclinic  $HfO_2$  crystalline phases. The blue and red colors refer to the Hf and O atoms, respectively. The unit cells were designed with the VESTA software [52]. (For interpretation of the references to color in this figure legend, the reader is referred to the Web version of this article.)

achieved at very low temperature by doping  $HfO_2$  and  $ZrO_2$  with  $RE^{3+}$ , resulting in a solid solution. The oxygen vacancies, formed by charge compensation when two  $Hf^{4+}$  or  $Zr^{4+}$  ions are replaced with two  $RE^{3+}$  ions, are randomly distributed in an anionic sub-lattice. The  $RE^{3+}$  ions occupy the  $Hf^{4+}$  or  $Zr^{4+}$  sites in the lattice, tending to coordinate with eight oxygen atoms, which is the coordination number (CN) of the tetravalent ions in both the tetragonal and cubic structures. This creates oxygen vacancies around  $Hf^{4+}$  or  $Zr^{4+}$ . The strong covalent nature of the Hf-O or Zr-O bond favors the sevenfold coordination, as in the case of the monoclinic structure. In this sense, the average coordination number of  $Hf^{4+}$  or  $Zr^{4+}$  is effectively lower upon doping, to stabilize the tetragonal and cubic phases at lower temperatures [44,47,57]. Therefore, the monoclinic, tetragonal, or cubic structure can be achieved depending on the concentration of the different  $RE^{3+}$ ; i.e., the structure can be tailored by the molar amount and size of the dopant(s) [46,58].

In the literature, attribution of the tetragonal and cubic crystalline phases is commonly misinterpreted when only conventional XRD analysis is performed. The XRD patterns of both phases are almost identical. The only difference is the peak with  $2\theta > 60^{\circ}$ , so the phases can be better distinguished by high-resolution synchrotron X-ray powder diffraction [1]. In a previous paper, our group used FTIR spectroscopy to demonstrate a simple and conclusive method to identify the three different HfO2 polymorphs (monoclinic, tetragonal, and cubic). On the basis of group theory, six vibrational modes are IR-active for the tetragonal phase  $(2A_{2u}+4E_u)$  [1,59,60], whereas only one active mode is expected for the cubic phase (F<sub>1u</sub>). In the FTIR spectra of HfO<sub>2</sub> doped with different Er<sup>3+</sup> concentrations, films deposited on a Si substrate, annealed at 900 °C, present at least five IR modes, which definitely indicate stabilization of the tetragonal phase, and not of the cubic phase [18]. Thus, we assumed that Eu<sup>3+</sup>-doped HfO<sub>2</sub> containing lower and higher Eu<sup>3+</sup> concentration are in the monoclinic and tetragonal crystalline phase, respectively, in accordance to Cunha et al. [18].

The Eu³+ emission spectra allowed us to explore the local structure where RE³+ is located in the different stabilized HfO₂ structures. Fig. 3 shows the emission spectra of 0.1–10 mol% Eu³+-doped HfO₂ powder annealed at 700 °C under excitation at 394 nm, corresponding to the Eu³+ $^7F_0 \rightarrow ^5L_6$  transition. The Eu³+ 4f intraconfigurational transitions have been assigned to emission from the  $^5D_0$  excited level to the  $^7F_J$  fundamental level, where J = 0, 1, 2, 3, and 4. The number of the Stark components and the relative intensity of the transitions change with the structural transformations and variations in the positions of the neighboring atoms.

 $HiO_2$  with lower  $Eu^{3+}$  concentration (0.1 or 1 mol%), where the monoclinic phase is stabilized, displays spectra typical of  $Eu^{3+}$  in the

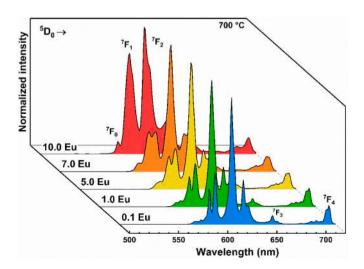


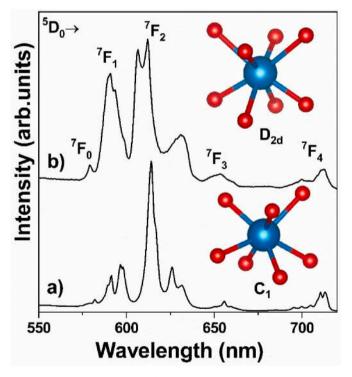
Fig. 3. Emission spectra under excitation at 394 nm of Eu $^{3+}$ -doped HfO $_2$  annealed at 700  $^{\circ}$ C.

monoclinic phase, agreeing with the literature [61–63]. On the other hand, HfO<sub>2</sub> with higher Eu³+ concentration (10 mol%), where the tetragonal phase is stabilized, exhibits broader and completely different spectra, showing that Eu³+ occupies different symmetry sites. Emission of the  $^5 D_0 \rightarrow ^7 F_2$  transition centered at  $\sim\!606$  nm is associated with Eu³+ in tetragonal HfO<sub>2</sub> or ZrO<sub>2</sub> [43]. HfO<sub>2</sub> with 5 or 7 mol% Eu³+ presents an intermediate profile, and we detected a structural transformation. The spectra still resemble the spectrum of Eu³+ in the monoclinic phase, but the bands characteristic of Eu³+ are broader, indicating the presence of some material in the tetragonal phase. The emission spectra clearly show the structural changes observed in the XRD analysis. Later, we will discuss these crystalline structures.

Two different spectra were recorded, representative of each system: monoclinic structure, for the sample doped with 1 mol% Eu<sup>3+</sup>, and tetragonal solid solution, for the sample doped with 10 mol% Eu<sup>3+</sup>. These spectra are depicted in Fig. 4.

Compared to the bands typical of  $\mathrm{Eu}^{3+}$  crystals, the bands herein are generally broader due to mismatch between the ionic radii and charges of  $\mathrm{Hf}^{4+}$  and  $\mathrm{Eu}^{3+}$  ( $\mathrm{rEu}^{3+}=1.01$  and  $\mathrm{rHf}^{4+}=0.76$  Å, for  $\mathrm{CN}=7$ ) [40], which distort the lattice and promote oxygen vacancies. For both stabilized  $\mathrm{HfO}_2$  and  $\mathrm{ZrO}_2$ , the oxygen vacancies may shift the positions of the atoms as compared to the fluorite structure, leading to local site deformation. The presence of these vacancies defines a large quantity of different symmetry sites with coordination number 6, 7, and 8, and the contribution of this group of sites is responsible for broadening of the emission bands. This can originate various slightly different symmetry sites, giving rise to this inhomogeneous enlargement of the linewidths [18,48,62]. This behavior can be classified as intermediate between the behavior observed in perfect crystals and the one observed in glasses [64].

For the two  $HfO_2$  polymorphs observed in this work, the overall symmetry increases on going from the monoclinic to the tetragonal phase, where the lattice has symmetry  $C_{2h}$  and  $D_{4h}$ , respectively [65,66].



**Fig. 4.** Emission spectra of the Eu $^{3+}$ -doped HfO $_2$  powders annealed at 700 °C, with Eu $^{3+}$  concentrations of: a) 1 mol% and b) 10 mol%. The inset shows the symmetry sites of the Hf atoms in both structures (the figures were made from the unit cells of the monoclinic and tetragonal phases; the VESTA software was used [52]).

Therefore, Eu<sup>3+</sup> is expected to occupy higher symmetry sites upon increasing Eu<sup>3+</sup> concentration, as a result of phase transformation. This difference in symmetry can be clearly noted by the relative intensity of the  ${}^5D_0 \rightarrow {}^7F_2$  and  ${}^5D_0 \rightarrow {}^7F_1$  transitions. The  ${}^5D_0 \rightarrow {}^7F_1$  is a magnetic dipole transition, allowed by the Laporte selection rule; it does not depend on the chemical environment and is used as a reference for comparison to the intensity of other transitions. The  ${}^5D_0 \rightarrow {}^7F_2$  transition is known as a hypersensitive transition and strongly depends on the environment in which Eu<sup>3+</sup> is inserted [49]. By calculating the ratio between the  $^5D_0 \rightarrow ^7F_2 / ^5D_0 \rightarrow ^7F_1$  intensities (also known as asymmetric ratio) [67], we obtain strong indication of the Eu<sup>3+</sup> local environment. A lower value for this ratio suggests a site with higher symmetry. Here, we calculated these ratios on the basis of the respective emission spectrum, fitted by Lorentzian functions, and we took the areas of each corresponding Eu<sup>3+</sup> transition into consideration. The values are displayed in Table 2. We found values of about 3.1 for monoclinic Eu<sup>3+</sup>-doped HfO<sub>2</sub> (0.1–5.0 mol % Eu<sup>3+</sup>). This value decreased with increasing Eu<sup>3+</sup> concentration. For 7 mol% Eu<sup>3+</sup>-doped HfO<sub>2</sub>, the value is intermediate, whilst 10 mol% Eu<sup>3+</sup>-doped HfO<sub>2</sub>, a tetragonal sample, has a value of 1.9. Therefore, the Eu<sup>3+</sup> surroundings change from lower to higher symmetry in the monoclinic and tetragonal phases, respectively.

For the  $ZrO_2$  monoclinic crystalline structure, sevenfold coordinated  $Zr^{4+}$  is in symmetry  $C_1$  [65,68]. Similarly, in HfO<sub>2</sub>,  $Eu^{3+}$  enters this low symmetry site  $C_2/C_1$  [43]. The low  $Eu^{3+}$  symmetry in this structure is revealed by the dominant  ${}^5D_0 \rightarrow {}^7F_2$  transition, indicating that  $Eu^{3+}$  is in a non-centrosymmetric site. Also, the  ${}^5D_0 \rightarrow {}^7F_0$  transition is only observed in symmetries  $C_{nv}$ ,  $C_n$ , and  $C_s$  [49], confirming that the local  $Eu^{3+}$  environment is asymmetric in monoclinic HfO<sub>2</sub>.

On the other hand, we expected higher symmetry for  $\mathrm{Eu}^{3+}$  in the tetragonal phase. The symmetry of eightfold coordinated  $\mathrm{Zr}^{4+}$  is  $\mathrm{D}_{2d}$  in the tetragonal structure [48,65,68]. For this symmetry, 0, 2, and 2 bands are expected for the  ${}^5\mathrm{D}_0\!\rightarrow^7\!F_{0,1,2}$  transitions, respectively. However, we observed something different in the spectra recorded herein. Some authors [48,65,68] have stated that the tetrahedra surrounding oxygen are expanded in the c direction, which can lead to site symmetry  $\mathrm{C}_{2v}$  [65]. Additionally, replacement with larger ions reduces the symmetry. Likewise,  $\mathrm{Eu}^{3+}$  should replace  $\mathrm{Hf}^{4+}$  in a site with symmetry  $\mathrm{D}_{2d}$  in

**Table 2**  $^5D_0 \rightarrow ^7F_2 / ^5D_0 \rightarrow ^7F_1$  intensity ratios (asymmetric ratio) and CIE 1931 chromaticity color coordinates for Eu³+-doped and La³+/Eu³+ co-doped HfO² annealed at 700 and 900 °C upon excitation at 394 nm.

Annealing temperature (°C)	Eu <sup>3+</sup> concentration (mol %)	La <sup>3+</sup> concentration (mol %)	$\frac{{}^{5}D_{0} \rightarrow {}^{7}F_{2}}{{}^{5}D_{0} \rightarrow {}^{7}F_{1}}$	Color coordinates (x, y)
700	0.1	_	3.1	(0.651,
				0.348)
	1.0	-	3.3	(0.652,
				0.348)
	5.0	-	3.1	(0.649,
				0.350)
	7.0	-	2.8	(0.646,
				0.353)
	10.0	-	1.9	(0.631,
				0.368)
900	0.1	-	3.4	(0.651,
				0.348)
	1.0	-	3.3	(0.652,
				0.347)
	10.0	-	2.0	(0.633,
				0.367)
	20.0	-	2.0	(0.632,
				0.367)
	0.1	10.0	1.9	(0.634,
				0.365)
	1.0	10.0	1.9	(0.634,
				0.365)
	3.0	10.0	1.8	(0.632,
				0.368)

tetragonal HfO<sub>2</sub> [43], but we also observed reduced symmetry in Fig. 3b. Despite the higher symmetry in the tetragonal structure as compared to the monoclinic structure, the  ${}^5D_0 \rightarrow {}^7F_2$  transition clearly stands out over the  ${}^5D_0 \rightarrow {}^7F_1$  transition, evidencing lack of an inversion center. Furthermore, the  ${}^5D_0 \rightarrow {}^7F_0$  transition, which is forbidden in symmetry  $D_{2d}$  [49], is evident, once again attesting to lower symmetry and more disordered structure in the present case.

On the basis of well-established diagrams [49,69] and the number of Stark components arising for each Eu<sup>3+</sup> transition, the symmetry site occupied by the dopants can be assigned. Deconvolution of the spectra in Fig. 3b shows splitting of the  $^7F_{1,2}$  levels into three and four Stark components, respectively. Bearing in mind that we observed a  $^5D_0 \rightarrow ^7F_0$  transition, we can assume that Eu<sup>3+</sup> occupies a site with lower symmetry, a subgroup of  $D_{2d}$ , the symmetry  $C_{2v}$  in this host, due to disorder promoted by the dopants introduced into the HfO<sub>2</sub> lattice. Liao et al. [70] came to a similar conclusion about the Eu<sup>3+</sup> symmetry site in a Eu<sup>3+</sup>-doped yttria stabilized zirconia (YSZ).

We also annealed Eu<sup>3+</sup>-doped HfO<sub>2</sub> at 900 °C. Fig. 5 illustrates the emission spectra of the samples with Eu<sup>3+</sup> concentration from 0.1 to 20 mol %, under excitation at 394 nm. We can clearly see the Eu<sup>3+</sup> 4f intraconfigurational transitions. We followed the structural changes by observing the luminescent properties of these samples. Once again, the spectra of the samples with lower Eu<sup>3+</sup> concentration (0.1 or 1.0 mol%) resemble the spectra of the monoclinic phase in Fig. 3. As for higher Eu<sup>3+</sup> concentration (10.0 or 20.0 mol%), the tetragonal phase is stabilized. The samples annealed at 900 °C have similar asymmetric ratio to the samples annealed at 700 °C (Table 2), indicating that the respective phases (monoclinic or tetragonal) are formed, and that Eu<sup>3+</sup> occupies the same symmetry site in the monoclinic and tetragonal phases.

This work and the literature have described that higher  $RE^{3+}$  concentration stabilizes the  $ZrO_2$  or  $HfO_2$  tetragonal phase. To design an efficient luminophore in the tetragonal phase, using a non-luminescent  $RE^{3+}$  constitutes an easy strategy to stabilize the desirable crystalline phase while a lower concentration of the optically active  $RE^{3+}$  is required. This prevents luminescence quenching through non-radiative energy migration between the  $Eu^{3+}$  ions due to the short distance between them in the host. The same strategy has been adopted to stabilize the  $ZrO_2$  and  $HfO_2$  crystalline phases by incorporation of  $RE^{3+}$ , such as Y, Gd, Lu, and La, while maintaining the luminescence of other  $RE^{3+}$ , such as  $Eu^{3+}$  and  $Eu^{3+}$  at smaller quantity  $Eu^{3+}$  concentration in the tetragonal phase only, we doped  $Eu^{3+}$  concentration of 10 mol%  $Eu^{3+}$  and varied the  $Eu^{3+}$  concentration.

Fig. 6 depicts the emission spectra of 10 mol%  $La^{3+}/x$  mol%  $Eu^{3+}$  (x

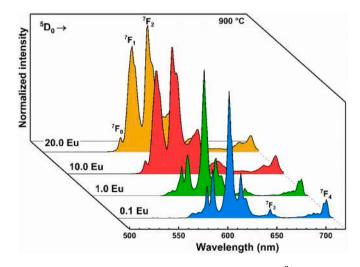


Fig. 5. Emission spectra under excitation at 394 nm of Eu $^{3+}$ -doped HfO $_2$  annealed at 900  $^{\circ}$ C.

= 0.1, 1, or 3 mol%) co-doped HfO<sub>2</sub> under excitation at 394 nm. All the spectra present inhomogeneous broad emission bands and the characteristic spectral profile of HfO<sub>2</sub> in the tetragonal crystalline phase containing high Eu<sup>3+</sup> concentration, proving that this specific phase is stabilized in all the co-doped samples. The minimum difference between the spectra in terms of the hypersensitive  $^5D_0 \rightarrow ^7F_2$  transition is related mostly to Eu<sup>3+</sup> occupying slightly different sites in this disordered host [76]. As can be seen in Table 2, the  $^5D_0 \rightarrow ^7F_2/^5D_0 \rightarrow ^7F_1$  ratios of these three co-doped HfO<sub>2</sub> are close to each other and to the values of Eu<sup>3+</sup>-doped HfO<sub>2</sub>, indicating that Eu<sup>3+</sup> occupies the same average symmetry sites.

We estimated the emission color of these systems by calculating the (x,y) color coordinates (Table 2) from the emission spectra of the samples by considering only the Eu³+ transition (excitation at 394 nm). Fig. 7 depicts the *Commission Internationale d'Éclairage* (CIE) 1931 chromaticity diagram. For the systems where Eu³+ is in the monoclinic HfO₂ structure, the  $^5D_0 \rightarrow ^7F_2$  transition is intense, as seen in the corresponding spectra, resulting in redder emission. Upon increasing Eu³+ concentration and stabilization of the tetragonal structure, where Eu³+ is in a more symmetric center, the electric dipole transitions become more forbidden, and the  $^5D_0 \rightarrow ^7F_1$  transition predominates, leading to an orange-red emission. For the samples with lower Eu³+ concentration, but tetragonally stabilized with La³+, the same orange-red emission arises

Fig. 8 shows the <sup>5</sup>D<sub>0</sub> excited state emission decay curves for Eu<sup>3+</sup>doped and La<sup>3+</sup>/Eu<sup>3+</sup> co-doped HfO<sub>2</sub> annealed at 900 °C, under excitation at 394 nm and fixed emission at the maximum intensity band of the  ${}^5D_0 \rightarrow {}^7F_2$  transition (606 or 614 nm), according to the emission spectra in Figs. 6 and 7. The curves behave close to a single exponential and can thus be fitted by using a first-order exponential. Although we have discussed that  $\mathrm{Eu}^{3+}$  occupies slightly distinct symmetry sites due to the disordered structures (Hf<sup>4+</sup> and Eu<sup>3+</sup> have mismatched ionic radii and oxygen vacancies), as observed from inhomogeneous broadening of the emission bands, the monoexponentially fitted curves indicate that these ions are located at sites with close lifetimes. The lifetime values from decay curves are presented in Table 3. The only exception is HfO<sub>2</sub> doped with 0.1 mol% Eu3+, fitted with a second-order exponential, where the short lifetime with a minor contribution is probably related to non-radiative processes that can reduce the <sup>5</sup>D<sub>0</sub> excited state lifetime. Therefore, for comparative purposes, we obtained the value presented in Table 3 for 0.1 mol% Eu<sup>3+</sup>-doped HfO<sub>2</sub> by integrating the area of the decay curve  $(\tau_{1/e})$ .

The difference in symmetry sites when Eu<sup>3+</sup> is embedded into the two different crystalline phases also reflects on the lifetime values. HfO<sub>2</sub>

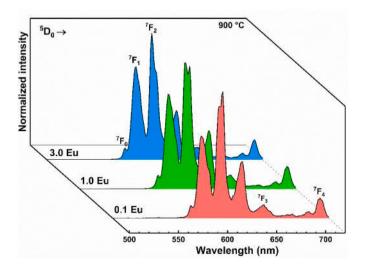


Fig. 6. Emission spectra under excitation at 394 nm of Eu $^{3+}$ -doped HfO $_2$  containing 10 mol% La $^{3+}$  and annealed at 900  $^{\circ}$ C.

doped with 1 mol%  $\mathrm{Eu^{3+}}$  has lower lifetime as compared to  $\mathrm{HfO_2}$  codoped with 1 mol%  $\mathrm{Eu^{3+}}/10$  mol%  $\mathrm{La^{3+}}$ . These samples have the same  $\mathrm{Eu^{3+}}$  concentration, but the local environment of  $\mathrm{Eu^{3+}}$  completely different. In the first case, assigned as the monoclinic phase,  $\mathrm{Eu^{3+}}$  replaces  $\mathrm{Hf^{4+}}$  in a lower symmetry site, so it has higher transition probability and shorter lifetime. In contrast,  $\mathrm{Eu^{3+}}$  incorporated into the tetragonal phase, stabilized by  $\mathrm{La^{3+}}$ , has longer lifetime, which is consistent with the higher symmetry of the site that  $\mathrm{Eu^{3+}}$  occupies in this host, as expected by observation of the emission spectra.

For the samples with tetragonal phase stabilized with a fixed  ${\rm La}^{3+}$  concentration, we evaluated the influence of the variation in  ${\rm Eu}^{3+}$  concentration in this particular host lattice. Increasing the  ${\rm Eu}^{3+}$  concentration from 0.1 to 3 mol% slightly lengthens the lifetime. Stabilization with a non-luminescent  ${\rm RE}^{3+}$ , such as  ${\rm La}^{3+}$ , allows tetragonal  ${\rm HfO}_2$  with lower  ${\rm Eu}^{3+}$  concentration to be obtained. Therefore, at the same time, we achieved phase control with a small amount of  ${\rm Eu}^{3+}$ , which could be homogeneously distributed in the host lattice with a sufficiently large average  ${\rm Eu}^{3+}$ - ${\rm Eu}^{3+}$  distance, allowing the  ${\rm Eu}^{3+}$  ions to exist as isolated luminescent centers. This prevents  ${\rm Eu}^{3+}$  clusters from being formed and avoids the non-radiative losses that would diminish the lifetime values.

However, the opposite occurs at higher  $\mathrm{Eu}^{3+}$  concentration. The tetragonal phase can also be stabilized by larger amount of  $\mathrm{Eu}^{3+}$ . Nevertheless, the  $\mathrm{Eu}^{3+}$ - $\mathrm{Eu}^{3+}$  distance shortens with increasing  $\mathrm{Eu}^{3+}$  concentration, to culminate in luminescence quenching processes due to energy migration between  $\mathrm{Eu}^{3+}$  ions in combination with host defects, which drastically diminishes the  $^5\mathrm{D}_0$  lifetime. Hence,  $\mathrm{HfO}_2$  doped with 10 and 20 mol%  $\mathrm{Eu}^{3+}$  are representatively presented in Fig. 8 to show the reduction in lifetime: despite tetragonal phase stabilization, the luminescence efficiency decreases with high  $\mathrm{Eu}^{3+}$  content.

We calculated the radiative transition probabilities (A<sub>0,J</sub>), the total radiative probability (A<sub>T</sub>), the radiative lifetime ( $\tau_{RAD}$ ), the intrinsic quantum yield ( $Q_{Eu}^{Eu}$ ) of the Eu<sup>3+5</sup>D<sub>0</sub> energy level [77] (Table 3), and the Judd-Ofelt (JO) parameters [78,79] (Table 4) on the basis of the emission spectra presented in Figs. 5 and 6, fitted by Lorentzian functions, under excitation at 394 nm. Usually, JO parameters of trivalent lanthanides-doped materials are calculated from their absorption spectra [49,80], from where it can be predicted the oscillator strengths, luminescence branching rations, excited state radiative lifetimes, and, thus, evaluate the intrinsic quantum yield [78,79,81]. For Eu<sup>3+</sup>-doped materials, the calculation on the intensity parameters from the absorption spectra is difficult since the intensity of only a few absorptions bands has sufficient intensity in the visible range to do the calculations [82]. However, Eu<sup>3+</sup> ions have unique properties that allows the JO parameters calculations from the emission spectra. As previously discussed, the magnetic dipole (MD) transition ( ${}^{5}D_{0} \rightarrow {}^{7}F_{1}$ ) has the dipole strength independent on the chemical environment [83], enabling the use of this transition as a reference.

The  $^5D_0 \rightarrow ^7F_1$  transition radiative probability ( $A_{01}$ ) for a specific host is given by:

$$A_{01} = A_{01}^{'} n^3 \tag{1}$$

where  $A'_{01}$  is the probability of this transition in vacuum ( $A'_{01} = 14.65 \text{ s}^{-1}$ ) [82,83] and n is the refractive index of the host. Thus, the probability is given by:

$$A_{01} = 3,1 \times 10^{-12} \tilde{\mathbf{v}}^3 n^3 \tag{2}$$

where  $\tilde{v}$  is  $^5D_0 \rightarrow ^7F_1$  transition barycenter (in cm $^{-1}$ ) and  $3.1 \times 10^{-12}$  is a constant for Eu $^{3+}$  ions.

Therefore, the intensity of this transition is used as a reference for the other transitions originating from the  ${}^5D_0$  excited state and their intensity ( $I_{OI}$ ) can be expressed in terms of the integrated areas under the emission bands ( $S_{OI}$ ) in their luminescence spectrum [82]:

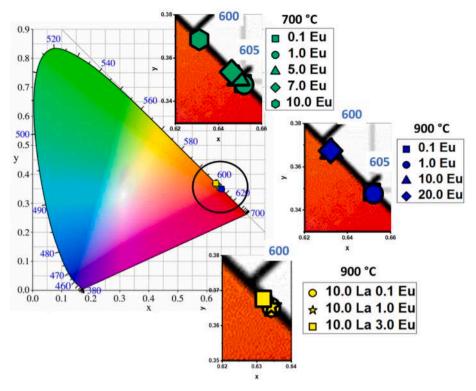


Fig. 7. CIE 1931 chromaticity diagram of Eu<sup>3+</sup>-doped and La<sup>3+</sup>/Eu<sup>3+</sup> co-doped HfO<sub>2</sub> annealed at 700 and 900 °C (excitation at 394 nm).

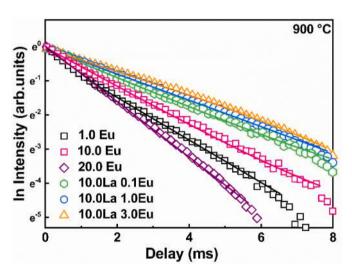


Fig. 8. Decay curves of the  $^5$ D $_0$  excited state of Eu $^{3+}$  in HfO $_2$  (with and without 10 mol% La $^{3+}$ ) under excitation at 394 nm.

$$I_{0J} = hc\tilde{v}A_{0J}N_{(^{5}D_{0})} \equiv S_{0J}$$
(3)

The total radiative probability  $(A_T)$  of Eu<sup>3+</sup> transitions from <sup>5</sup>D<sub>0</sub> is given by:

$$A_T = \sum_{J=0}^{6} A_{0J} = \frac{A_{01}}{S_{01}} \times \sum_{J=0}^{6} S_{0J}$$
 (4)

The radiative probability of  ${}^5D_0 \rightarrow {}^7F_2$  ( $A_{02}$ ) and  ${}^5D_0 \rightarrow {}^7F_4$  ( $A_{04}$ ) is calculated by Ref. [84]:

$$A_{02} = \left(\frac{S_{02}}{S_{01}}\right) A_{01} \tag{5}$$

**Table 4** Judd-Ofelt parameters of the  $^5D_0$  emitting level under excitation at 394 nm of Eu $^{3+}$ -doped and Eu $^{3+}$ /La $^{3+}$  co-doped HfO $_2$  annealed at 900 °C.

Eu <sup>3+</sup> concentration (mol %)	La <sup>3+</sup> concentration (mol %)	$\Omega_2 (10^{-20} \text{ cm}^2)$	$\Omega_4 (10^{-21} \text{ cm}^2)$
1.0	_	5.1	16.3
10	-	3.1	8.8
20	_	3.1	8.6
0.1	10	3.0	8.7
1.0	10	2.9	8.4
3.0	10	2.7	7.6

Table 3 Intrinsic quantum yield of the  $^5D_0$  emitting level of Eu $^{3+}$ -doped and Eu $^{3+}$ /La $^{3+}$  co-doped HfO $_2$  annealed at 900  $^{\circ}$ C under excitation at 394 nm.

Eu <sup>3+</sup> concentration (mol %)	La <sup>3+</sup> concentration (mol %)	$A_{0-1} (s^{-1})$	A <sub>0-2</sub> (s <sup>-1</sup> )	$A_{0-4} (s^{-1})$	$A_T (s^{-1})$	τ <sub>RAD</sub> (ms)	$\tau_{EXP} \ (ms) \ (\pm 0.1 \ ms)$	$Q_{Eu}^{Eu}$ (%)
1.0	_	101	338	51	490	2.0	1.3ª	64
10	-	103	207	28	338	3.0	1.7	57
20	-	103	206	27	336	3.0	1.2	40
0.1	10	103	197	27	327	3.1	2.3	75
1.0	10	103	195	26	324	3.1	2.6	84
3.0	10	103	182	24	308	3.2	3.1	96

 $<sup>^{\</sup>text{a}}~\tau_{\text{1/e}}$  value.

$$A_{04} = \left(\frac{S_{04}}{S_{01}}\right) A_{01} \tag{6}$$

Therefore,  $A_T$  is given by the sum of  $A_{01}$ ,  $A_{02}$ , and  $A_{04}$ :

$$A_T = \sum_{J=0}^4 A_{0J} \tag{7}$$

$$A_T = \frac{1}{\tau_{RAD}} \tag{8}$$

The intrinsic quantum yield  $(Q_{E_n}^{E_n})$  is determined by:

$$(Q_{Eu}^{Eu}) = \frac{\tau_{EXP}}{\tau_{RAD}} \tag{9}$$

The refractive index we used for these calculations was 1.9 for all the systems because in a previous work [18] this value was estimated by using specular reflectance of dip-coated  $HfO_2$  films with different  $RE^{3+}$  concentration prepared by the same methodology. Irrespective of the  $RE^{3+}$  concentration, the same value of refractive index was obtained.

As expected, lower symmetry sites possess higher  $A_T$  values, which results in a relaxation of the selection rules and allows a mixture of f-d configurations [77]. In this case,  $Eu^{3+}$  embedded in the  $HfO_2$  monoclinic phase (sample doped with 1 mol %  $Eu^{3+}$ ), with lower symmetry, presents higher  $A_T$  value, and the intrinsic quantum yield is about 64%. With increasing  $Eu^{3+}$  concentration and tetragonal phase stabilization,  $Eu^{3+}$  should occupy a site with higher symmetry site, and higher radiative lifetime would be expected. Nevertheless, luminescence quenching takes place, leading to a lower experimental lifetime and reducing the  $Q_{Eu}^{Eu}$  values for 10 and 20 mol%  $Eu^{3+}$ -doped  $HfO_2$ . On the other hand, tetragonal  $HfO_2$  stabilized with  $Eu^{3+}$  has increased intrinsic quantum yield—the  $Eu^{3+}$  values are close, but the slight increase in the experimental lifetime values leads to higher  $Eu^{3+}$  values, with outstanding results of up to 96%.

The JO parameters ( $\Omega_{\lambda}$ ) are obtained by the following equation [82]:

$$\Omega_{\lambda} = \frac{3h}{64\pi^4 e^2 v^{-3}} \frac{9}{n(n^2 + 2)^2} \frac{1}{\left| \left\langle {}^5 D_0 \| U^{(\lambda)} \|^7 F_J \right\rangle \right|^2} A_{0J}$$
 (10)

Table 4 displays the experimental  $\Omega_2$  and  $\Omega_4$  intensity parameter values of these samples.  $\Omega_2$  is related to the degree of covalence, and the higher  $\Omega_2$  values of the systems in the monoclinic HfO<sub>2</sub> phase suggests a more covalent and polarizable chemical environment for Eu<sup>3+</sup>, related to the higher hypersensitivity behavior of its  ${}^5D_0 \rightarrow {}^7F_2$  transition. The lower  $\Omega_2$  values of the tetragonal phase systems indicate that Eu<sup>3+</sup> is in a less polarizable and more symmetric environment, in agreement with the asymmetric ratio presented in Table 2.

All these results indicate that the strategy adopted enables the synthesis, phase control, and luminescent property tunability of  $HfO_2$  systems, to reach outstanding intrinsic quantum yield values without luminescence quenching. These results point out to the design of an efficient red-emitting nanometric system whose structure can be tailored for the desired application. This paves the way for important technological optical applications of these systems that are beneficial for the fields of photonics and biophotonics, including optical biomarkers, scintillators, displays, LEDs, lasers, and waveguides.

## 4. Conclusion

Stable colloidal suspensions containing pure and  $\mathrm{Eu^{3+}}$ -doped  $\mathrm{HfO_2}$  nanoparticles in ethanolic medium were successfully prepared. The average nanoparticle size is 4–6 nm, as verified by PCS and HRTEM, and microscopy revealed formation of monoclinic  $\mathrm{HfO_2}$ .  $\mathrm{HfO_2}$  nanoparticles containing 0.1 up to 20 mol%  $\mathrm{Eu^{3+}}$  were obtained. The different doping concentrations do not influence the average nanoparticle size. XRD analysis of the  $\mathrm{Eu^{3+}}$ -doped  $\mathrm{HfO_2}$  powder annealed at 700 °C indicates formation of two crystalline phases: at lower  $\mathrm{Eu^{3+}}$ -concentration (up to

5~ mol%), the monoclinic phase emerges; at Eu $^{3+}$  concentration higher than 10~ mol%, the high-temperature tetragonal phase can be stabilized at lower temperature.

We followed the structural changes taking place upon increasing  $\mathrm{Eu}^{3+}$  concentration by the emission spectra of the samples. Different spectral profiles for the different crystalline structures (monoclinic and tetragonal) were obtained. The  $\mathrm{Eu}^{3+}$  spectra present broad emission bands, which evidence microdeformations in the host  $\mathrm{HfO}_2$  lattice. Such deformations promote various slightly distinct symmetry sites. On the basis of the analysis of the relative intensity of the Stark components and the asymmetry ratio,  $\mathrm{Eu}^{3+}$  occupies higher symmetry site in the tetragonal than in the monoclinic structure, as expected.

We successfully designed rare earth ion-stabilized tetragonal  $HfO_2$  that allowed the  $Eu^{3+}$  ions to be dispersed in the host lattice as isolated luminescent centers, thereby avoiding the luminescence quenching process. More specifically, we investigated the  $Eu^{3+}$  luminescent properties in tetragonal  $HfO_2$  doped with a fixed concentration of 10 mol%  $La^{3+}$  and various  $Eu^{3+}$  concentrations, up to 3 mol %. The resulting systems present long lifetime and high intrinsic quantum yield values, in contrast to the lower parameters obtained for tetragonal  $HfO_2$  stabilized with high  $Eu^{3+}$  concentration only.

In this sense, we have demonstrated an effective and facile strategy to stabilize different  $HfO_2$  polymorphs doped with rare earth ions while tailoring their structure and tuning the emission properties. The results showed that a non-optically active ion, such as  $La^{3+}$ , provides tetragonal  $HfO_2$  stabilization without compromising the luminescence intensity of  $Eu^{3+}$  This fact suggests homogeneous  $Eu^{3+}$  distribution in the crystalline structure, preventing cluster formation and luminescence quenching.

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## CRediT authorship contribution statement

Fernanda Hediger Borges: Investigation, Spectroscopic measurements, Data curation, Conceptualization, Validation, Writing – original draft, Writing – review & editing. Douglas Silva da Hora Oliveira: Investigation, Spectroscopic measurements, Data curation. Giulia Paulino Hernandes: Investigation, Spectroscopic measurements, Data curation. Sidney José Lima Ribeiro: Conceptualization, Supervision. Rogéria Rocha Gonçalves: Supervision, Resources, Funding acquisition, Investigation, Spectroscopic measurements, Data curation, Conceptualization, Validation, Writing – original draft, Writing – review & editing.

## Declaration of competing interest

The authors declare the following financial interests/personal relationships which may be considered as potential competing interests: Rogeria Rocha Goncalves reports financial support was provided by National Council for Scientific and Technological Development. Rogeria Rocha Goncalves reports financial support was provided by State of Sao Paulo Research Foundation. Fernanda Hediger Borges reports financial support was provided by State of Sao Paulo Research Foundation. Rogeria R goncalves reports a relationship with State of Sao Paulo Research Foundation that includes: funding grants.

## Data availability

Data will be made available on request.

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