

# Nanostructure-Mediated Phase Evolution in Lithiation/Delithiation of $\text{Co}_3\text{O}_4$

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## ABSTRACT

Nanostructured transition metal oxides have been under intensive investigation for their tantalizing potential as anodes of next-generation lithium-ion batteries (LIBs). However, the exact mechanism for nanostructures to influence the LIB performance remains largely elusive. In this work, we discover the nanostructure-mediated lithiation mechanism in  $\text{Co}_3\text{O}_4$  anodes using *ex situ* transmission electron microscopy (TEM) and X-ray diffractometry: While  $\text{Co}_3\text{O}_4$  nanosheets exhibit a typical two-step conversion reaction (from  $\text{Co}_3\text{O}_4$  to  $\text{CoO}$  and then to  $\text{Co}^0$ ),  $\text{Co}_3\text{O}_4$  nanoarrays can go through a direct conversion from  $\text{Co}_3\text{O}_4$  to  $\text{Co}^0$  at a high discharge rate. Such nanostructure-dependent lithiation can be rationalized by the slow lithiation kinetics intrinsic to  $\text{Co}_3\text{O}_4$  nanoarrays, which at a high discharge rate may cause local accumulation of lithium to initiate a one-step  $\text{Co}_3\text{O}_4$ -to- $\text{Co}^0$  conversion. Combined with the larger volume change observed in  $\text{Co}_3\text{O}_4$  nanoarrays, the slow lithiation kinetics can lead to inhomogeneous expansion with large stress developed at the reaction front, which can eventually cause structure failure and irreversible capacity loss, as explicitly observed by *in situ* TEM as well as galvanostatic discharge-charge measurement. Our observation resolves the nanostructure-dependent lithiation mechanism of  $\text{Co}_3\text{O}_4$ , and provides important insights into the interplay among lithiation kinetics, phase evolution and lithium storage performance which can be translated into electrode design strategies for next generation LIBs.

# 1. INTRODUCTION

Rechargeable lithium ion batteries (LIBs) have governed applications such as portable devices and are regarded as the most promising power sources for electric vehicles and grid applications.[1-2] Transition metal oxides (TMOs) have gained significant attention since Poizot, et al.[3-4] demonstrated their feasibility as conversion electrode materials for LIBs, and have been proposed as prospective anodes due to their capability of incorporating more than one Li per metal atom, thus delivering much higher electrochemical capacities than those of conventional graphite anodes.[5-6] Among TMO materials,  $\text{Co}_3\text{O}_4$  has attracted extensive interest due to its high theoretical capacity.[7-8] However, its large volume expansion/contraction during lithiation/delithiation leads to electrode pulverization and the loss of particle contact, which results in a large irreversible capacity loss and poor cycling stability. Despite intensive efforts to overcome the volume expansion and to improve battery performance by developing nanostructured  $\text{Co}_3\text{O}_4$ [9-10] (nanowire,[11] graphene composite,[12] nanocage,[13] etc.[14-16]), the dynamic process that occurs during lithiation/delithiation of various  $\text{Co}_3\text{O}_4$  nanostructures is still under debate with lots of inconsistencies in literature.[10-15]

Since Thackeray, et al.[17] reported on the intercalation-conversion reaction pathway during the electrochemical lithiation of  $\text{Co}_3\text{O}_4$ , study on the multi-step reaction mechanism has been widely undertaken. However, the detailed process of the conversion reaction in  $\text{Co}_3\text{O}_4$  remains controversial in literature. Guo, et al.[18] found that the CoO phase forms as the intermediate phase during the conversion from  $\text{Co}_3\text{O}_4$  to  $\text{Co}^0$  using *ex situ* X-ray Diffractometry (XRD) on  $\text{Co}_3\text{O}_4$  anode at different discharge states. Yuk, et al.[19] also revealed the CoO phase as the initial conversion product of  $\text{Co}_3\text{O}_4$ , followed by the formation of  $\text{Co}^0$  using graphene

liquid cell electron microscopy. On the other hand, distinct from the two step  $\text{Co}_3\text{O}_4$ -to- $\text{CoO}$  and  $\text{CoO}$ -to- $\text{Co}^0$  conversion reactions, a direct conversion between  $\text{Co}_3\text{O}_4$  and  $\text{Co}^0$  was observed by Su, et al.,[20] which complicates the lithiation reaction mechanism of  $\text{Co}_3\text{O}_4$ . They studied the reaction kinetics of  $\text{Co}_3\text{O}_4$  particles using annular dark-field scanning transmission electron microscopy (ADF-STEM) and observed metallic  $\text{Co}^0$  phase directly forming from the intercalated  $\text{Li}_x\text{Co}_3\text{O}_4$  phase at various discharge rates. Likewise, Lee, et al.[21] observed a direct conversion from  $\text{Co}_3\text{O}_4$  to  $\text{Co}^0$  through *in situ* X-ray absorption fine structure (XAFS) analysis. The direct conversion from  $\text{Co}_3\text{O}_4$  to  $\text{Co}^0$  has also been observed by others.[22-23] Such a controversy about the conversion reaction pathways reflects the complex lithiation mechanism in  $\text{Co}_3\text{O}_4$ , which was first revealed by Tarascon, et. al.[24] by demonstrating that low charge rates or small grains are beneficial for the formation of  $\text{CoO}$  while high charge rates or large grains favor the formation of  $\text{Li}_x\text{Co}_3\text{O}_4$ . However, Tarascon's work only revealed the competition between the intercalation and conversion processes without addressing the direct one-step  $\text{Co}_3\text{O}_4$ -to- $\text{Co}^0$  conversion, and thus did not resolve the above controversy in literature.

In this work, we compare the microscopic lithiation/delithiation behaviors of  $\text{Co}_3\text{O}_4$  anodes with two distinct nanostructures, nanoarrays and nanosheets, using *in situ* and *ex situ* TEM, consolidated by XRD and LIB performance measurements. We discover the dependence of lithiation mechanism on the  $\text{Co}_3\text{O}_4$  nanostructure as well as the discharge rate, and identified the favorable lithiation conditions for both two-step and one-step conversion reactions. The observed nanostructure-dependent lithiation is underpinned by lithiation kinetics intrinsic to  $\text{Co}_3\text{O}_4$  nanostructures, which further leads to different structural and cycling stability in LIB anodes. Our results not only resolve the existing controversy on the  $\text{Co}_3\text{O}_4$  lithiation mechanism in literature, but also shed light on the optimal nanostructure to achieve better LIB performance.

## 2. EXPERIMENTAL SECTION

**Preparation of carbon cloth (CC)-based  $\text{Co}_3\text{O}_4$  nanosheets and CC-based  $\text{Co}_3\text{O}_4$  nanoarrays.** CC-based  $\text{Co}_3\text{O}_4$  nanosheets were synthesized according to the following method. Specifically,  $\text{Co}(\text{NO}_3)_2 \cdot 6\text{H}_2\text{O}$  and 2-methylimidazole were separately dissolved in two beakers of methanol. After continuous stirring for 1 h at room temperature, the two kinds of methanol solutions were then quickly mixed. After the immersion of an oxidized CC (CC-O) in the mixed solution and reaction for 24 h, the reacted CC-O was removed. After rinsing three times with methanol, the reacted CC was heated for 12 h in an oven at 60 °C, and was then heat treated in a furnace at 500 °C for 1 h. Thus, CC-based  $\text{Co}_3\text{O}_4$  nanosheets were obtained. CC-based  $\text{Co}_3\text{O}_4$  nanoarrays were synthesized according to the method reported previously.[25] In detail,  $\text{Co}(\text{NO}_3)_2 \cdot 6\text{H}_2\text{O}$ ,  $\text{NH}_4\text{F}$  and urea were separately dissolved in a 50 mL Teflon-lined autoclave, followed by the immersion of CC. After reaction, the reacted CC was removed and washed with deionized water before being heated for 12 h in an oven at 60 °C and was subsequently taken to heat treatment at 450 °C for 1 h. Thus,  $\text{CC}@\text{Co}_3\text{O}_4$  nanoarrays were obtained. The measurements of mass loading of  $\text{Co}_3\text{O}_4$  nanoarrays and nanosheets on CC were performed using the Agilent 725 inductively coupled plasma atomic emission spectrometry (ICP-AES). The average areal mass loading of  $\text{CC}@\text{Co}_3\text{O}_4$  nanosheets and  $\text{CC}@\text{Co}_3\text{O}_4$  nanoarrays were 0.89 and 1.88  $\text{mg cm}^{-2}$ , respectively.

**Electrode Fabrication and Cell Assembly.** Both CC-based  $\text{Co}_3\text{O}_4$  nanosheets and CC-based  $\text{Co}_3\text{O}_4$  nanoarrays were cut into 1  $\text{cm}^2$  disks and used directly as anode electrodes without a binder or conductive additive. The electrolyte solution was ethylene carbonate/diethylene carbonate (1:1 v/v) with 1 M  $\text{LiPF}_6$ . Both types of electrodes were assembled in a two-electrode

cell configuration versus Li metal foil counter electrode in an argon-filled glove box, with oxygen and water content below 1 ppm.

**Characterizations.** The surface morphologies of CC-based Co<sub>3</sub>O<sub>4</sub> nanosheets and CC-based Co<sub>3</sub>O<sub>4</sub> nanoarrays were characterized by scanning electron microscopy (SEM; TESCAN VEGA3). X-ray diffraction (XRD) patterns were collected on an X-ray diffractometer (XRD; Rigaku Smartlab 9 kW, Cu target). The CR2032 coin-type cells based on CC-based Co<sub>3</sub>O<sub>4</sub> nanosheet and CC-based Co<sub>3</sub>O<sub>4</sub> nanoarray electrodes were tested in galvanostatic mode at 500  $\mu\text{A cm}^{-2}$  within a voltage range of 0.01 to 3 V versus Li/Li<sup>+</sup> at the ambient temperature with a multichannel Landt Battery Tester. Cyclic voltammetry (CV) tests were carried out between 0.01 and 3 V versus Li<sup>+</sup>/Li with an Autolab electrochemical workstation (PGSTAT302N, Metrohm-Autolab).

**TEM, ex situ and in situ TEM electrochemical characterizations.** All TEM and scanning TEM (STEM) were performed using a JEOL JEM-2100F microscope operated at 200 kV, equipped with a Gatan Enfina electron spectrometer. Electron energy-loss spectroscopy (EELS) mapping was carried out under a 200 kV accelerating voltage with a 13 mrad convergence angle for the optimal probe condition. An energy dispersion of 0.7 eV per channel and a collection angle of 21 mrad were set for EELS, with high-angle annular dark field (HAADF) images acquired with an 89 mrad inner angle simultaneously. **The Co and O elemental maps were extracted from the EELS spectrum image by integrating across the energy windows of 779-803 (L<sub>2,3</sub> edge) and 532-543 (K edge) eV, respectively. The elemental map for Li was extracted using multiple linear least squares fitting (MLLS) in the Digital Micrograph (Gatan, USA) software for solving the Li-K edge and Co-M<sub>2,3</sub> edge overlapping.** The *ex situ* TEM experiments were performed using the TEM “grid in a coin cell” (**Figure S1**) set up using liquid electrolyte for

easy postmortem TEM characterizations. The *in situ* TEM experiments followed a similar design of the *in situ* cell as reported by Wang and co-workers.[26] The Co<sub>3</sub>O<sub>4</sub> nanoarrays/nanosheets were loaded onto an electrochemically etched micro-size tungsten tip and fixed with conductive silver epoxy. Another tungsten tip with a submicron size at the end was used to scratch the fresh Li metal surface in an argon-filled glove box, and attached to a piezo-driven biasing probe built into the Nanofactory TEM scanning tunneling microscope (STM) holder. Before taking the holder into the ambient air, the holder tip was sealed by a plastic cap and then wrapped in a Parafilm tape. Once the sealed holder was taken out from the glovebox, it was inserted into the TEM column as quickly as possible for the *in situ* study of lithiation. The Li<sub>2</sub>O on the Li metal surface serves as a solid electrolyte. Illustration videos of the *in situ* lithiation/delithiation processes of Co<sub>3</sub>O<sub>4</sub> nanoarrays (Supporting information Video SI1-3) and nanosheets (Supporting information Video SI4) were taken and the corresponding dose rates (units of number of electrons per square ångström per second, e<sup>-</sup> Å<sup>-2</sup>·s<sup>-1</sup>) were ~ 122 and 78 e<sup>-</sup> Å<sup>-2</sup>·s<sup>-1</sup> respectively.

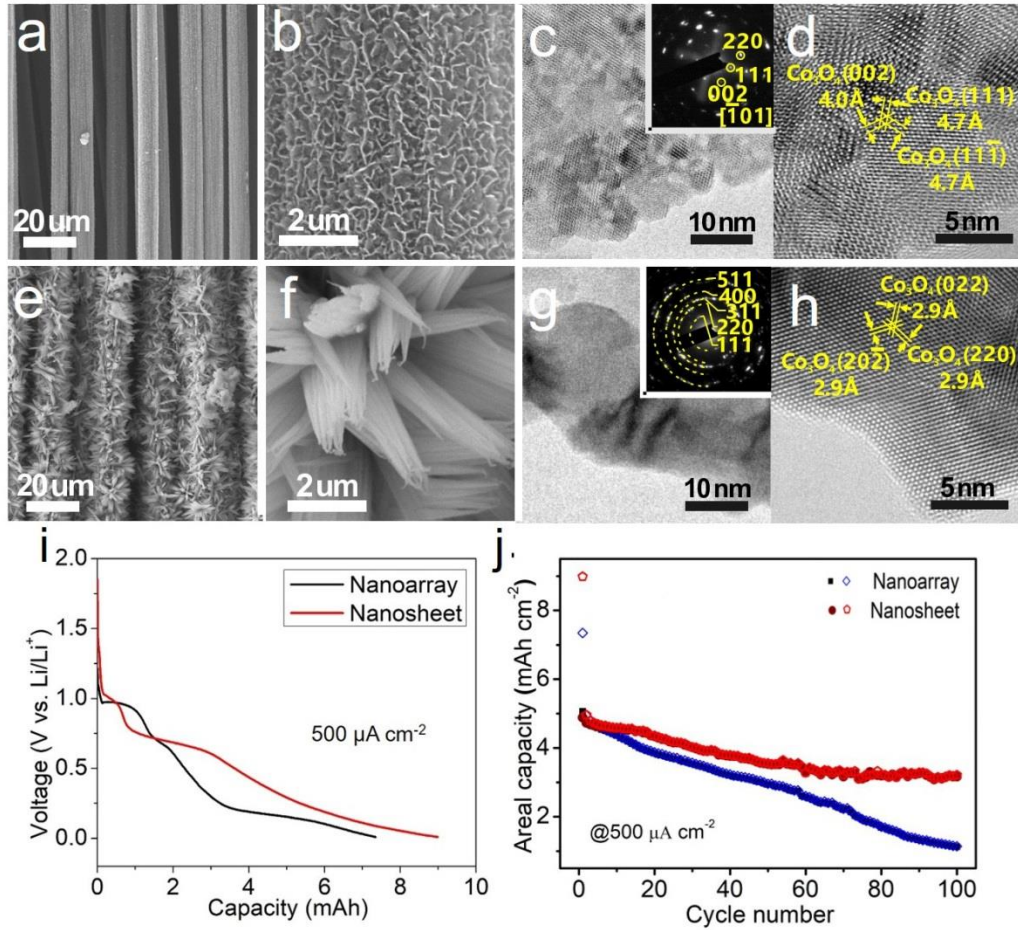
### 3. RESULTS AND DISCUSSION

#### 3.1. Preparation and Characterization of Co<sub>3</sub>O<sub>4</sub> nanosheets and nanoarrays on carbon cloth

The morphologies of Co<sub>3</sub>O<sub>4</sub> nanosheets and nanoarrays on carbon cloth (CC) substrates at different magnifications are revealed by scanning electron microscopy (SEM) images in **Figure 1**. **Figure 1a-b** show Co<sub>3</sub>O<sub>4</sub> nanosheets homogeneously distributed over the whole CC substrate, forming a three-dimensional (3D) interconnected porous structure. The nanosheets have an average radical length (normal to the carbon fiber axis) of ~300 nm and axial widths (parallel to the carbon fiber axis) of ~900 nm. **Figure 1e-f** indicate that Co<sub>3</sub>O<sub>4</sub> nanoarrays are in the bundle

form and densely cover the surface of CC, with an average length of  $\sim 4 \mu\text{m}$  and tapered with narrow tips. XRD (**Figure S2**) on nanosheets and nanoarrays confirms their phase to be  $\text{Co}_3\text{O}_4$  spinel (JCPDS card No. 00-009-0418), with one additional broad peak at  $25.3^\circ$  coming from graphitized CC. TEM observation (**Figure 1c and 1g**) on the two nanostructures is also carried out. The selected area electron diffraction (SAED) (the inset of **Figure 1c and 1g**) and high-resolution TEM (HRTEM) (**Figure 1d and 1h**) consistently show the spinel phase of  $\text{Co}_3\text{O}_4$  in both nanosheets and nanoarrays, whose chemical composition is further verified using electron energy-loss spectroscopy (EELS) in **Figure S3**. In combination with the XRD analysis, we thus are confident that two distinct nanostructures with the same spinel  $\text{Co}_3\text{O}_4$  phase have been obtained. The  $\text{Co}_3\text{O}_4$  nanosheets are mostly  $\langle 110 \rangle$  oriented large crystals with nanopores in between, as determined from SAED and HRTEM, with the thickness  $\sim 7 \text{ nm}$  measured from those inclined or perpendicular nanosheets (**Figure S4**). In contrast, the  $\text{Co}_3\text{O}_4$  nanoarrays are polycrystalline with grain sizes of 3-40 nm. Combining both TEM and SEM observations, the dimensional differences between  $\text{Co}_3\text{O}_4$  nanosheets and nanoarrays can be derived: the average widths of  $\text{Co}_3\text{O}_4$  nanosheets and nanoarrays are  $\sim 900 \text{ nm}$  vs.  $\sim 25 \text{ nm}$  (tapered with narrow tips); the average lengths of  $\text{Co}_3\text{O}_4$  nanosheets and nanoarrays are  $\sim 300 \text{ nm}$  vs.  $\sim 4 \mu\text{m}$ .





**Figure 1.** SEM images of CC@Co<sub>3</sub>O<sub>4</sub> nanosheets (a-b) and CC@Co<sub>3</sub>O<sub>4</sub> nanoarrays (e-f) at different magnifications. Comparison of high-magnification TEM images (c and g) and their corresponding SAED patterns (the inset of c and g) of Co<sub>3</sub>O<sub>4</sub> nanosheets and nanoarrays. HRTEM images of Co<sub>3</sub>O<sub>4</sub> nanosheets (d) and nanoarrays (h). (i) **Voltage profile comparison of CC-based Co<sub>3</sub>O<sub>4</sub> nanoarrays/nanosheets at the first cycle lithiation at the current density of 500 μA cm<sup>-2</sup>.** (j) Areal capacity-cycle plots of Co<sub>3</sub>O<sub>4</sub> nanosheets (hollow red pentagon: discharge; dark red circle: charge) and nanoarrays (hollow blue rhomb: discharge; dark square: charge) obtained at the current density of 500 μA cm<sup>-2</sup>.

The successful fabrication of the two kinds of Co<sub>3</sub>O<sub>4</sub> nanostructures enables us to investigate the effect of morphologies (shape and crystallinity) on LIB performance. 2032-type

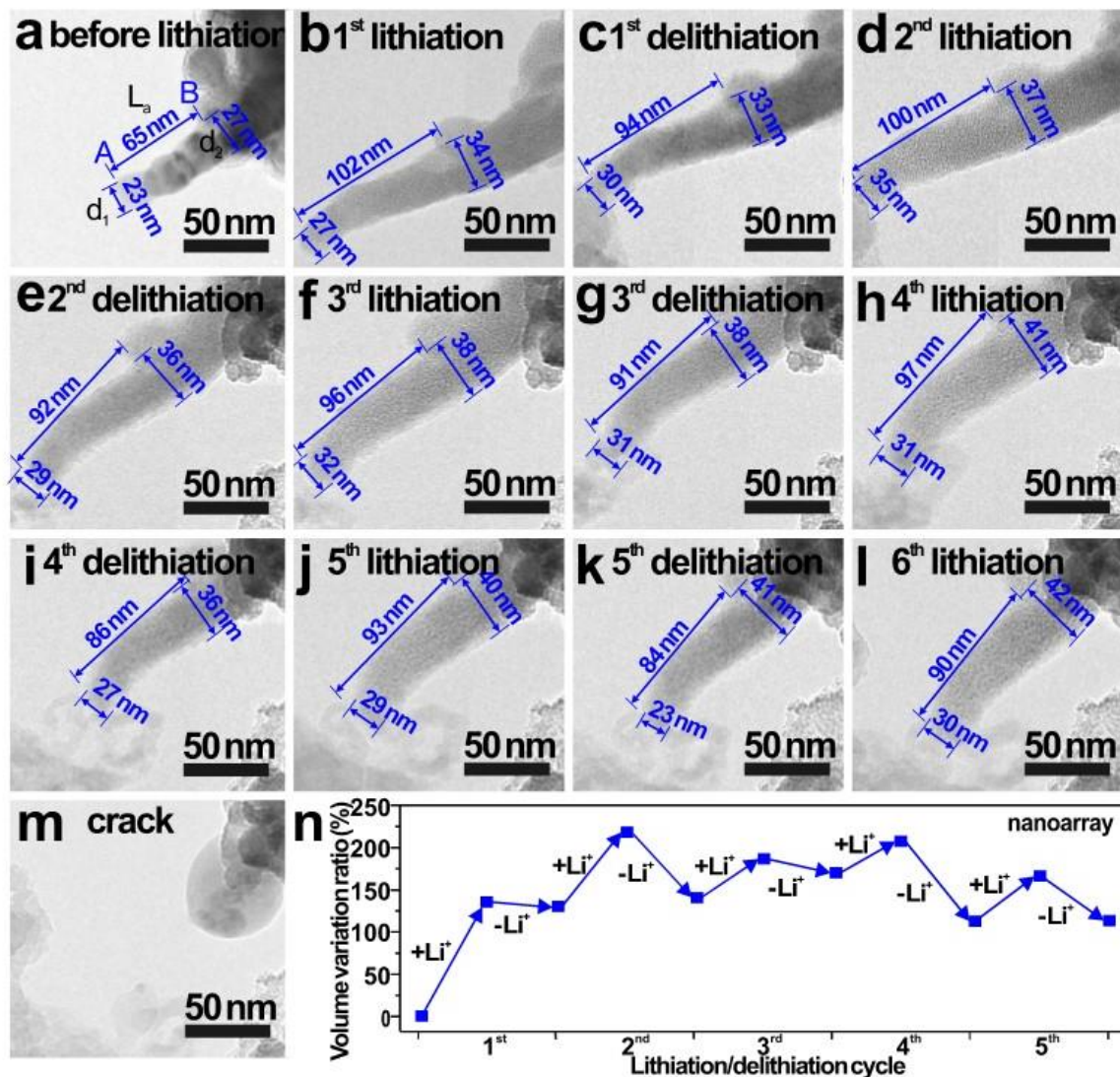
coin cells using CC-based  $\text{Co}_3\text{O}_4$  nanoarrays/nanosheets as anodes are fabricated. Through a comparison of voltage profiles of CC-based  $\text{Co}_3\text{O}_4$  nanoarrays/nanosheets (Figure 1i) at the first cycle lithiation with that of CC (Figure S5), we find out that lithiation of  $\text{Co}_3\text{O}_4$  nanosheets presents a sloping discharge profile without obvious plateau regions, while an evident plateau region at around 1.0 V exists for the lithiation of  $\text{Co}_3\text{O}_4$  nanoarrays, indicating their different lithiation dynamics. Galvanostatic charge-discharge measurements (Figure 1j) are carried out to compare the capacities of the two kinds of electrodes upon cycling. With the initial lithiation capacity of  $\sim 9.0 \text{ mAh cm}^{-2}$  and  $\sim 7.3 \text{ mAh cm}^{-2}$  for  $\text{CC@Co}_3\text{O}_4$  nanoarrays and  $\text{CC@Co}_3\text{O}_4$  nanosheets, respectively, the initial reversible capacity of both  $\text{CC@Co}_3\text{O}_4$  nanoarrays and  $\text{CC@Co}_3\text{O}_4$  nanosheets is  $\sim 5 \text{ mAh cm}^{-2}$ . With almost the same initial reversible capacity ( $\sim 5 \text{ mAh cm}^{-2}$ ), the  $\text{CC@Co}_3\text{O}_4$  nanosheets anode maintains a capacity of  $\sim 3.2 \text{ mAh cm}^{-2}$  after 100<sup>th</sup> cycles, much higher than the  $\text{CC@Co}_3\text{O}_4$  nanoarrays ( $\sim 1.2 \text{ mAh cm}^{-2}$ ). We further deduct the areal capacity contribution from CC (Figure S6) and calculate the specific capacity-cycle plots within the first 50 cycles (Figure S7). It can be seen that with the significantly higher initial specific capacity of  $2162 \text{ mAh g}^{-1}$ ,  $\text{Co}_3\text{O}_4$  nanosheets also show a higher capacity retention with the specific capacity of  $1182 \text{ mAh g}^{-1}$  at the 50<sup>th</sup> cycle. Interestingly, the value of specific capacity of  $\text{Co}_3\text{O}_4$  nanosheets at the 50<sup>th</sup> cycle still surpasses the theoretical capacity of  $\text{Co}_3\text{O}_4$  ( $890 \text{ mAh g}^{-1}$ ), which is attributed to the strong surface capacitance on  $\text{Co}^0$  particles formed during discharge at low potentials[27]. The specific capacity of  $\text{Co}_3\text{O}_4$  nanosheets is much higher than  $\text{Co}_3\text{O}_4$  nanoarrays with specific capacity as low as  $241 \text{ mAh g}^{-1}$ . Such an improved electrochemical property from nanostructure engineering has been observed by others,[28] while the underlying mechanism remains largely unknown. Meanwhile, even though the mass loading of  $\text{Co}_3\text{O}_4$  nanosheets and  $\text{Co}_3\text{O}_4$  nanoarrays is different, morphology effect on lithiation

behaviors can still be observed through *ex situ*/*in situ* TEM and *ex situ* XRD characterizations, which will be further clarified later.

### 3.2. Effect of Nanostructures on Cycling Stability of Co<sub>3</sub>O<sub>4</sub>

To investigate the structural and phase evolution during lithiation/delithiation cycles, we set up the open-cell configuration of the *in situ* LIB[29-30] inside a TEM, as illustrated in **Figure S8** and described in detail in Experimental Section, which can offer high spatial resolution imaging and real-time analytical capabilities. **Since the phase evolution of one sole nanoarray/nanosheet is observed, the distinct mass loading of Co<sub>3</sub>O<sub>4</sub> nanosheets and Co<sub>3</sub>O<sub>4</sub> nanoarrays on 1 cm<sup>2</sup> carbon cloth does not affect the comparison.** With the contact established between the Li/Li<sub>2</sub>O counter electrode and Co<sub>3</sub>O<sub>4</sub> nanosheets/nanoarrays, a -1 V bias voltage is applied to drive the flow of electrons and Li<sup>+</sup> ions across the circuit, initiating the electrochemical lithiation in Co<sub>3</sub>O<sub>4</sub> nanosheets/nanoarrays, while a +7 V bias is applied to initiate the delithiation process. To illustrate the lithiation/delithiation cycling of Co<sub>3</sub>O<sub>4</sub> nanoarrays (**Supporting information Video S11**), we have selected one segment in a Co<sub>3</sub>O<sub>4</sub> nanoarray between two reference positions of A and B (L<sub>a</sub>) (**Figure 2a**), with an initial length of 65 nm (L<sub>0</sub>) and an initial diameter of 25 nm (d<sub>0</sub>; the diameter d is defined as the average of the two marked diameters d<sub>1</sub> and d<sub>2</sub>). Both d and L<sub>a</sub> values during the first 6 lithiation/delithiation cycles are measured (**Figure 2b-I**) and summarized in **Table S1**, with the largest elongation L<sub>a</sub>~102 nm corresponding to the elongation rate R<sub>ea</sub>=57%. We then derive the volume of the nanoarray segment based on the expression  $\frac{\pi d^2}{4} \times L$  and the volume variation ratio (R<sub>va</sub>) through dividing volume increments by the original volume (V<sub>0</sub>), as plotted in **Figure 2n** (also summarized in **Table S1**). The R<sub>va</sub> value after the 1<sup>st</sup> cycle is as large as 130%, followed by a little contraction from subsequent delithiation. Interestingly, after the 2<sup>nd</sup> lithiation, the volume expands more (219%) than the first lithiation, which has also

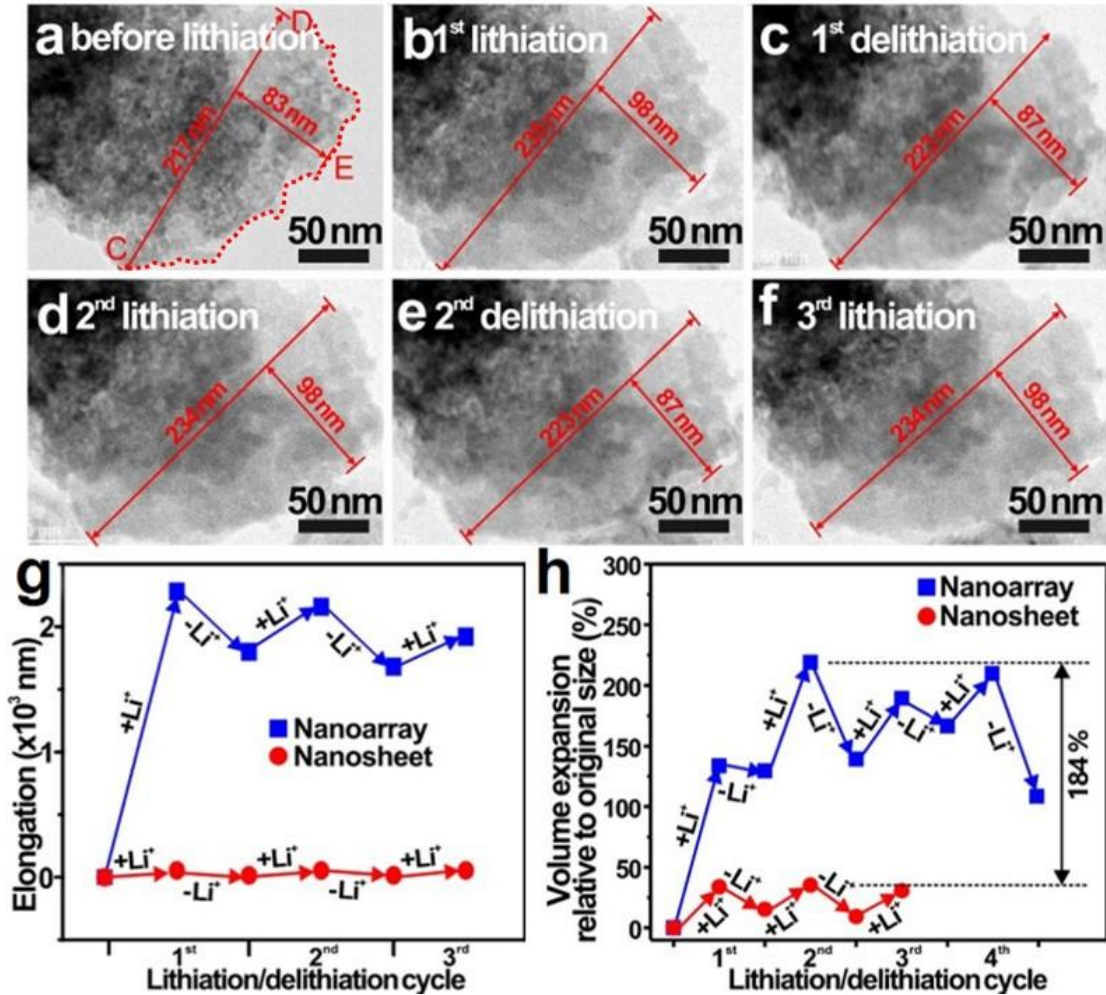
been observed by Xu *et al* in CuO electrode.[31] This may be attributed to pore formation in Co<sub>3</sub>O<sub>4</sub> nanoarrays.[32-33] The largest contraction occurs at the 4<sup>th</sup> delithiation (99%), and the breakage of the nanoarray is captured during the 6<sup>th</sup> delithiation (**Figure 2m and Supporting information Video S12**). There are two possible reasons for the failure of the nanoarray. It may be caused by fusing. More possibly, it may be triggered by the microstructure defects correlated with localized stresses induced by the Li concentration gradients, as demonstrated previously.[34] With the more inhomogeneous Li distribution in Co<sub>3</sub>O<sub>4</sub> nanoarrays than Co<sub>3</sub>O<sub>4</sub> nanoarrays, which will be demonstrated by *ex situ* XRD characterizations later, the higher localized stresses will be resultant from the more obvious Li concentration gradients in Co<sub>3</sub>O<sub>4</sub> nanoarrays, resulting in higher possibility of microstructure defects or even fracture. A similar trend has been observed on another Co<sub>3</sub>O<sub>4</sub> nanoarray segment (**Figure S9, Table S2, Supporting information Video S12**).



**Figure 2.** Microstructural evolution of a  $\text{Co}_3\text{O}_4$  nanoarray in the *in situ* lithiation and delithiation cycles. (a) A pristine  $\text{Co}_3\text{O}_4$  nanoarray. The lithiated (b, d, f, h, j and l) and delithiated (c, e, g, i, k and m) nanoarray after 1 to 6 cycles. (n) Volume variation ratios ( $R_{va}$ ) over 5 lithiation/delithiation cycles.

In contrast, for  $\text{Co}_3\text{O}_4$  nanosheets ([Supporting information Video SI3](#)), the effects of lithiation/delithiation cycling are also examined ([Figure 3a-f](#)). According to the TEM images, the porous sheet is found to transform to nonporous structure upon lithiation. The structural stability of the nanosheets are then studied through measuring the area change of the segment

defined by the two reference positions (C and D) and the contact position with metallic Li (E), since the measurement of the expansion in the thickness direction is a limitation of in situ TEM experiment. The original segment is 83 nm long and 217 nm wide with the length ( $L_s$ ) and width ( $W$ ) defined as the perpendicular distance from E to CD and the length of the CD line, respectively. After the first lithiation,  $W$  and  $L_s$  increase to 235 nm and 98 nm, respectively, with a broadening ratio ( $R_{bs}$ , **Table S3**) of 8.29% and an elongation ratio ( $R_{es}$ ) of 18.1%, significantly smaller than that of nanoarrays (**Figure S10**). Based on the elongation ratio ( $R_{es}$  and  $R_{ea}$ ) and the total lengths of nanosheets (18.1% and  $\sim 300$  nm) and nanoarrays (57% and  $\sim 4000$  nm), the average elongations are estimated as  $\sim 54$  nm for  $\text{Co}_3\text{O}_4$  nanosheets and  $\sim 2300$  nm for nanoarrays (**Figure 3g**). Such a small elongation of nanosheets would be very much preferred by battery designers, to avoid piercing the separator in liquid-electrolyte LIBs, or to maintain a stable electrolyte/electrode interface in all-solid-state LIBs. After the first delithiation,  $W$  and  $L_s$  decrease to 223 and 87 nm, respectively, which increase only by 2.76% and 4.81% compared to the original dimensions. For the next two cycles, both  $R_{bs}$  and  $R_{es}$  closely follow the change of the first cycle, as summarized in **Table S3**. Using the method reported by Yu, et al[35], the volume expansion of  $\text{Co}_3\text{O}_4$  nanosheets is calculated and compared with  $\text{Co}_3\text{O}_4$  nanoarrays (**Figure 3h**). The volume of nanosheets expands marginally and reversibly at a maximum value of  $\sim 35\%$  during three discharge/charge cycles, which is significantly smaller than that of nanoarrays (219% at maximum), suggesting its better cycling stability. Meanwhile, considering the better structural stability of  $\text{Co}_3\text{O}_4$  nanosheets and the disappearance of porous structures at lithiation, the pores in nanosheets take part in accommodating the volume expansion of nanosheets, as demonstrated previously.[14]

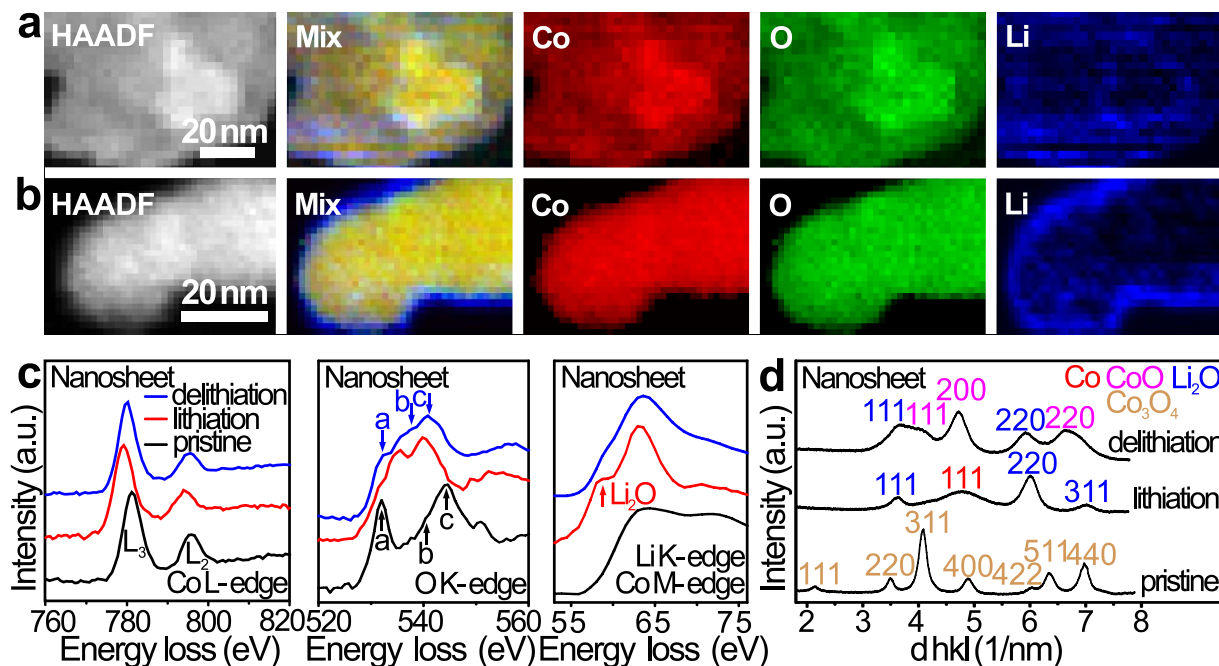


**Figure 3.** Microstructural evolution of a  $\text{Co}_3\text{O}_4$  nanosheet in the *in situ* lithiation and delithiation cycles. (a) A pristine  $\text{Co}_3\text{O}_4$  nanosheet. The lithiated (b, d and f) and delithiated (c and e) nanosheet after 1 to 3 cycles. (g) Comparison of elongations for nanoarrays and nanosheets. (h) Comparison of volume expansion relative to original size for  $\text{Co}_3\text{O}_4$  nanoarray and nanosheet.

Phase evolution processes in  $\text{Co}_3\text{O}_4$  nanosheets and nanoarrays after *in situ* lithiation/delithiation are analyzed according to element distribution in EELS maps (**Figure 4a-b**). In both nanostructures, higher concentration of Li (Li accumulation) is revealed at the surface, indicating large inhomogeneities[36] of Li distribution from surface to the center of the electrodes. It also verifies that lithiation predominantly occurs through surface diffusion,

resulting in higher lithiation kinetics in nanosheets than in nanorods. **Figure 4c** and **Figure S11** show *in situ* EEL spectra of nanosheets and nanoarrays allowing the direct comparison of Co L<sub>2,3</sub>-edges and O K-edge at three different states: the pristine Co<sub>3</sub>O<sub>4</sub>, the lithiated, and the delithiated states. After lithiation, the Co L<sub>2,3</sub>-edges (red curve) are shifted by ~-1.5 eV compared with pristine Co<sub>3</sub>O<sub>4</sub> (black curve), indicating the reduction of Co<sub>3</sub>O<sub>4</sub> to Co<sup>0</sup> due to lithiation. The O K-edge (red curve) shows the characteristic peaks of Li<sub>2</sub>O,[37] confirming the overall lithiation reaction:  $\text{Co}_3\text{O}_4 + 8 \text{Li}^+ + 8\text{e}^- \rightarrow 3\text{Co} + 4 \text{Li}_2\text{O}$ , **which is further confirmed by the characteristic peak of Li K-edge at ~ 58.5 eV attributed to the formation of Li<sub>2</sub>O.[38]** While after delithiation, the Co L<sub>2,3</sub>-edges (blue curve) are shifted back by ~1.0 eV (still ~-0.5 eV lower than the pristine Co<sub>3</sub>O<sub>4</sub>), showing that the phase after delithiation is CoO with the delithiation reaction:  $\text{Co} + \text{Li}_2\text{O} \rightarrow \text{CoO} + 2\text{Li}^+ + 2\text{e}^-$ . This is further verified by the O K-edge (blue curve) with considerably reduced prepeak intensity compared to the pristine Co<sub>3</sub>O<sub>4</sub> (black curve), [39] **and significantly decreased peak intensity of Li<sub>2</sub>O peak.** In addition, *in situ* SAED on nanosheets (**Figure 4d**) and nanoarrays (**Figure S12**) confirms the phase evolutions during lithiation/delithiation: while lithiation induces the phase change from Co<sub>3</sub>O<sub>4</sub> to Co<sup>0</sup> and Li<sub>2</sub>O, CoO is formed after delithiation instead of Co<sub>3</sub>O<sub>4</sub>. Obviously, the same phase evolution pathways found out by *in situ* TEM cannot explain the significant difference in the structural stability, which necessitates further characterizations.



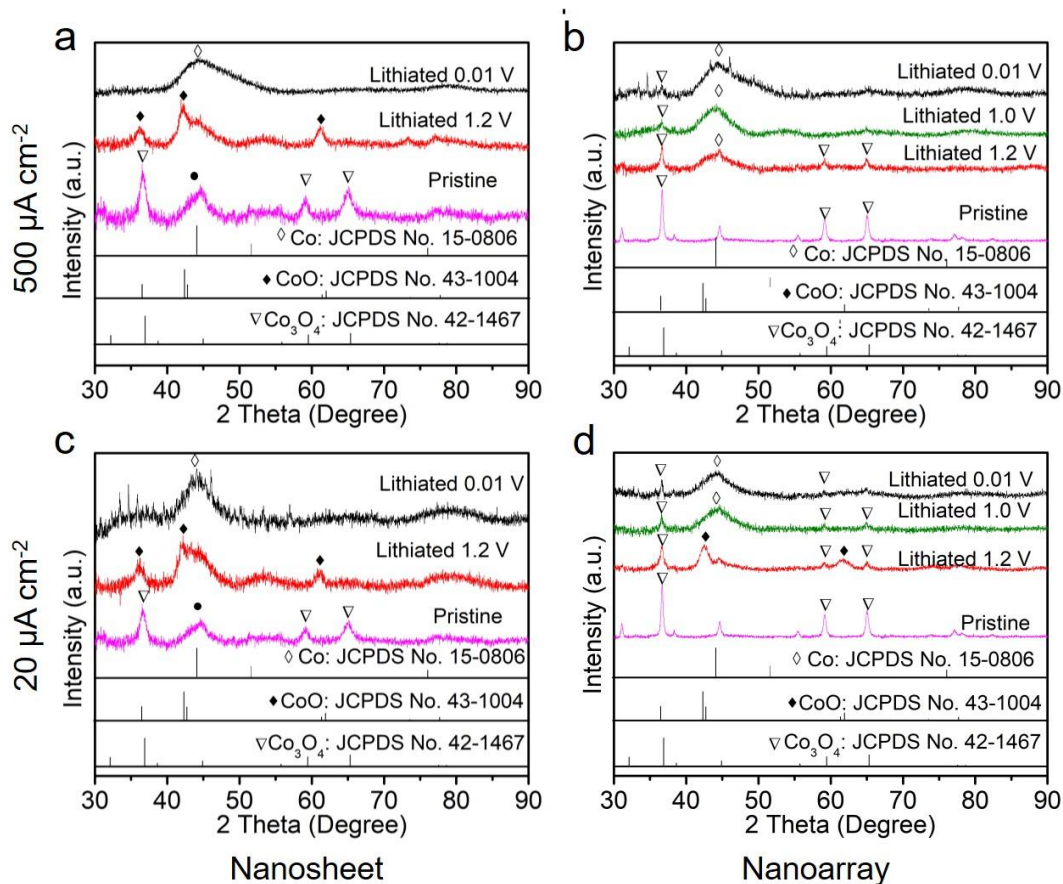


**Figure 4.** EELS elemental maps of the nanosheet (a) and the nanoarray (b) after lithiation. EEL spectra (c) and the radial-averaged intensity plot of SAED patterns (d) of  $\text{Co}_3\text{O}_4$  nanosheets at the pristine, the lithiated, and the delithiated states.

### 3.3. Effects of Nanostructures on Lithiation Reaction Pathways of $\text{Co}_3\text{O}_4$ .

To probe the detailed lithiation mechanism, phase evolution during the initial discharge is investigated through the combination of *ex situ* XRD and TEM characterizations. The experiment setup of “TEM grid in a coin cell” using liquid electrolyte[40] (Figure S1) is employed for postmortem TEM characterization and the samples grown on CC are used for *ex situ* XRD characterization. The discharge rate of  $500 \mu\text{Acm}^{-2}$  is first used for *ex situ* studies, in order to be consistent with galvanostatic discharge/charge test. As shown in Figure 5, diffraction peaks related to cubic spinel  $\text{Co}_3\text{O}_4$  are observed on fresh electrodes for both samples (purple curves, Figure 5). When discharged to 1.2 V (Figure S13), pristine  $\text{Co}_3\text{O}_4$  nanosheets are fully converted to CoO as indicated by the appearance of CoO diffraction peaks at  $36.3^\circ$ ,  $42^\circ$  and  $61^\circ$  (red curve, Figure 5a) and the disappearance of  $\text{Co}_3\text{O}_4$  diffraction peaks at  $36.8^\circ$ ,  $59^\circ$  and  $65^\circ$ .

This is further confirmed by *ex situ* TEM observation (**Figure S14**) showing the presence of rocksalt CoO phase after discharging at 1.2 V. When the electrode is further lithiated to 0.01 V (black curve, **Figure 5a and Figure S15**), diffraction peaks related to CoO disappear. Instead, the peak related to metallic Co<sup>0</sup> at 44° emerges, indicating the full conversion from CoO to Co<sup>0</sup>. The large peak width is due to the formation of nanocrystalline Co<sup>0</sup> phase after the full conversion. Thus **Figure 5a** indicates the two-step lithiation in Co<sub>3</sub>O<sub>4</sub> nanosheets, consistent with previous report:[18]  $Co_3O_4 + 2Li^+ + 2e^- \rightarrow 3CoO + Li_2O$ ;  $CoO + 2Li^+ + 2e^- \rightarrow Co + Li_2O$ . In contrast, Co<sub>3</sub>O<sub>4</sub> nanoarrays show negligible trace of CoO phase throughout the discharging process (**Figure 5b**). Instead, at 1.2 V (red curve, **Figure 5b and Figure S16**) diffraction peaks of Co<sub>3</sub>O<sub>4</sub> (59° and 65°) remain together with diffraction peaks of Co<sup>0</sup> (44°), which indicates the coexistence of unlithiated and lithiated regions with the lithiated product of Co<sup>0</sup>. Especially, even though the weakening XRD peak at 36.8° indicates phase evolution as lithiation progresses, the peak remains at the lithiated voltages of both 1.0 V (green curve, **Figure 5b and Figure S17**) and 0.01 V (black curve, **Figure 5b and Figure S18**) indicating the existence of unlithiated Co<sub>3</sub>O<sub>4</sub>. It thus can be concluded that one-step conversion from Co<sub>3</sub>O<sub>4</sub> to Co<sup>0</sup> occurs in the initial lithiation of Co<sub>3</sub>O<sub>4</sub> nanoarrays:  $Co_3O_4 + 8Li^+ + 8e^- \rightarrow 3Co + 4Li_2O$ . **Figure 5a** and **5b** unambiguously demonstrate two different lithiation paths mediated by the distinct nanostructures.

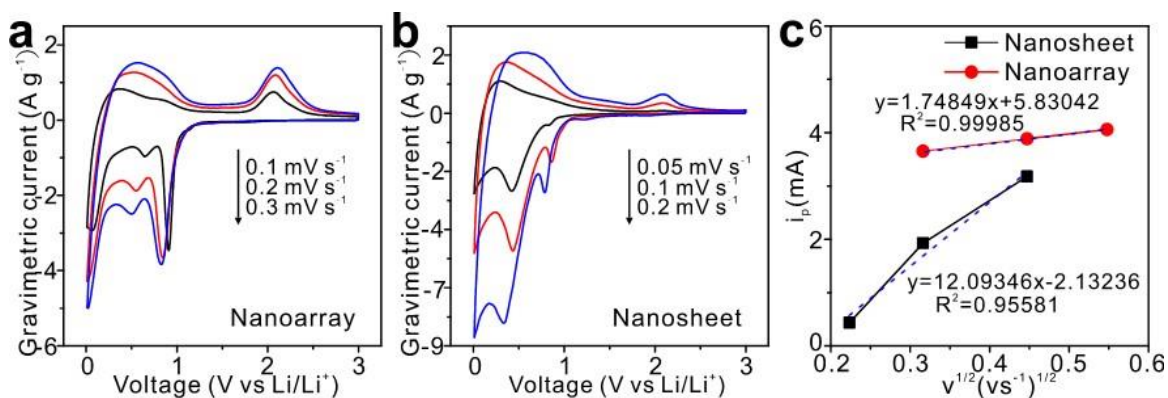


**Figure 5.** *Ex situ* XRD spectra of CC@Co<sub>3</sub>O<sub>4</sub> nanosheets (a and c) and CC@nanoarrays (b and d) anodes lithiated to different voltages at charge/discharge rates of 500  $\mu\text{A cm}^{-2}$  (a and b) and 20  $\mu\text{A cm}^{-2}$  (c and d) during the initial cycle. The XRD signal of a Kapton film window used in *ex situ* XRD measurement is marked with black dots.

Such nanostructure-dependent lithiation path also depends on the discharge rate. At a low current density of 20  $\mu\text{A cm}^{-2}$ , Co<sub>3</sub>O<sub>4</sub> of both morphologies exhibits the two-step conversion (from Co<sub>3</sub>O<sub>4</sub> to CoO to Co<sup>0</sup>) according to the existence of CoO diffraction peaks at 36.3°, 42° and 61°. At 1.2 V, Co<sub>3</sub>O<sub>4</sub> nanosheets (**Figure 5c** and **Figure S19**) still get fully converted to CoO, while the conversion of Co<sub>3</sub>O<sub>4</sub> nanoarrays (**Figure 5d** and **Figure S21-S23**) is incomplete with the mixed lithiated phase of CoO and un lithiated phase of Co<sub>3</sub>O<sub>4</sub>, which has also been verified explicitly by *ex situ* TEM (**Figure S24**). When the CoO phase is further lithiated to form

the  $\text{Co}^0$  phase at  $\leq 1.0$  V, there remains unlithiated  $\text{Co}_3\text{O}_4$  (green and black curves, **Figure 5d and Figure S21-S23**). The formation of  $\text{Co}^0$  phase at 0.01 V for  $\text{Co}_3\text{O}_4$  nanosheets is confirmed by *ex situ* TEM (**Figure S25**). The consistency between the *ex situ* TEM and *ex situ* XRD characterization results show the negligible effect of the mass loading on the lithiation kinetics, considering the distinct mass loading of the *ex situ* TEM and *ex situ* XRD samples.

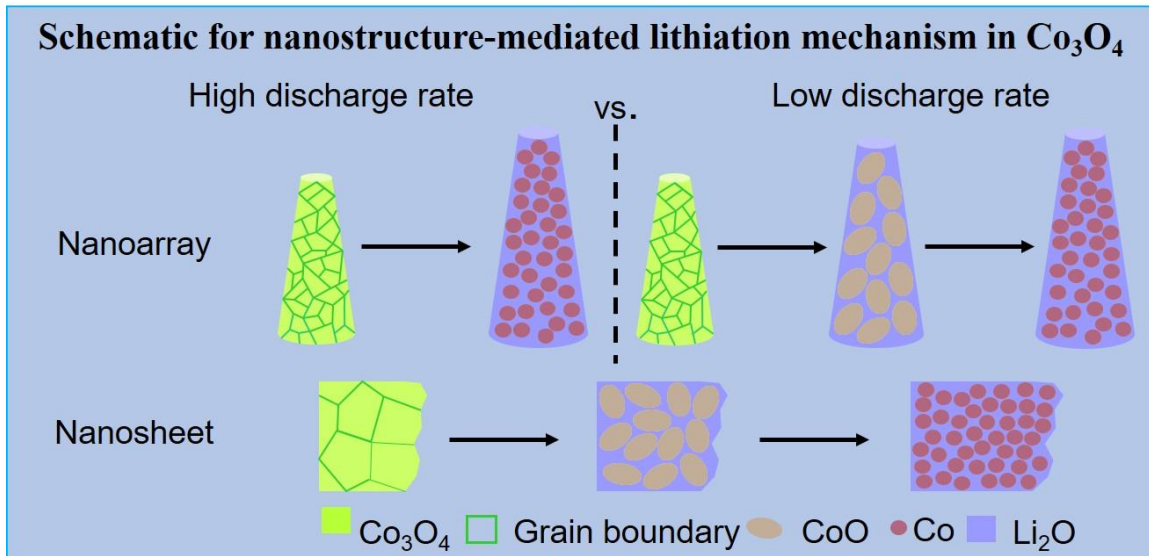
To confirm the driving/limiting force for nanostructure-mediated lithiation pathways,  $\text{Li}^+$  transport speeds in both nanosheets and nanoarrays are derived from CV measurement to directly compare their lithiation kinetics.[41] **Figure 6a and 6b** show the CV curves for the CC-based  $\text{Co}_3\text{O}_4$  nanoarrays and nanosheets, respectively. For both nanostructures, all peak currents increase with increasing scan rates, consistent with the diffusion-controlled process in which the peak currents are proportional to the square root of the scan rate.[42] The diffusion coefficients of  $\text{Li}^+$  in  $\text{Co}_3\text{O}_4$  nanosheets and nanoarrays can be further derived using the Randles-Sevick equation:[43]  $i_p = 2.69 \times 10^5 n^{3/2} A D_{\text{Li}}^{1/2} C_{\text{Li}} v^{1/2}$ , where  $i_p$  is the peak current in amps,  $n$  is the number of the electrons transferred,  $A$  is electrode area in  $\text{cm}^2$ ,  $v$  is the scan rate in  $\text{V s}^{-1}$ , and  $D_{\text{Li}}$  and  $C_{\text{Li}}$  are the diffusion coefficient in  $\text{cm}^2 \text{s}^{-1}$  and concentration of  $\text{Li}^+$  in  $\text{mol cm}^{-3}$ . The peaks at  $\sim 0.85$  V at the CV curves are equivalent to the characteristic peaks at  $\sim 1.2$  V at the lithiation voltage curves, since different testing machines and conditions result in the polarization difference and the resultant distinct characteristic peaks at which phase change appears to take place. Through analyzing the slopes of the  $i_p - v^{1/2}$  curves (**Figure 6c**) using cathodic peak currents at 0.85 V (with the cathodic peak currents of  $\sim 0.5$  V[44-45] attributed to lithiation of carbon fiber), it can be found out that  $\text{Co}_3\text{O}_4$  nanosheets show significantly faster lithiation kinetics than the nanoarrays.



**Figure 6.** CV plots of CC-based  $\text{Co}_3\text{O}_4$  nanoarrays (a) and nanosheets (b). (c)  $i_p$ - $v^{1/2}$  plots of two kinds of CC-based anodes using cathodic peak currents at 0.85 V.

Therefore, by combining the *ex-situ* XRD and CV results, nanostructure-mediated lithiation pathways can be explained as follows: due to the slow lithiation kinetics of  $\text{Co}_3\text{O}_4$  nanoarrays, local  $\text{Li}^+$  accumulation takes place, which is reflected by the coexistence of un lithiated  $\text{Co}_3\text{O}_4$  and lithiated  $\text{Co}^0$  phases in  $\text{Co}_3\text{O}_4$  nanoarrays. When a high discharge rate is applied, rapid  $\text{Li}^+$  accumulation results in localized sharp voltage drop at the reaction fronts, driving the one-step phase conversion from  $\text{Co}_3\text{O}_4$  to  $\text{Co}^0$ . When a low discharge rate is applied,  $\text{Li}^+$  has relatively sufficient time to achieve a gradual voltage drop in  $\text{Co}_3\text{O}_4$  nanoarrays, and thus the two-step conversion occurs. For  $\text{Co}_3\text{O}_4$  nanosheets, fast lithiation kinetics can avoid nanosheets from the issue of local  $\text{Li}^+$  accumulation, which results in two step conversion reactions at both high and low discharge rates. Meanwhile, full lithiation always takes place in  $\text{Co}_3\text{O}_4$  nanosheets, in obvious contrast to existence of un lithiated  $\text{Co}_3\text{O}_4$  phases for  $\text{Co}_3\text{O}_4$  nanoarrays even at the low discharge rate.

### 3.4. Proposed Mechanism



**Figure 7.** Proposed schematic to explain the effect of nanostructure on phase evolution for  $\text{Co}_3\text{O}_4$  electrode.

By correlating ex situ XRD, (in situ/ex situ) TEM and electrochemical results, we can now propose a mechanism to help us understand how nanostructure affects lithium storage capability. Figure 7 presents a schematic on the proposed phase transformation process for different nanostructures. When the nanoarray is cycled at a high discharge rate, such as  $500 \mu\text{A cm}^{-2}$ , there is not enough time for Li to fully lithiate all the active materials, indicated by the coexistence of lithiated and unlithiated  $\text{Co}_3\text{O}_4$  nanoarrays, resulting in a low value of areal capacity. In addition, mixtures of phases and structures in  $\text{Co}_3\text{O}_4$  nanoarrays (lithiated and unlithiated  $\text{Co}_3\text{O}_4$ ) undergo different amounts of volume changes, and therefore, leads to nonuniform volume changes of  $\text{Co}_3\text{O}_4$  nanoarray electrodes during lithiation and delithiation which causes stress to the electrode, resulting in structure failure and irreversible capacity loss. In contrast, due to the fast lithiation kinetics, the nanosheet experiences full lithiation from  $\text{Co}_3\text{O}_4$  phase to CoO phase and then to Co phase when cycled at a high discharge rate, which results in delivery of high capacity. Meanwhile, full conversion from one phase (such as  $\text{Co}_3\text{O}_4$ ) to the other phase (such as CoO) at

lithiation prevents the electrode from high interior stress, resulting in high cycling stability. When the nanoarray is cycled at a low discharge rate, such as  $20 \mu\text{A cm}^{-2}$ , even though the two-step conversion reaction facilitates the slow relaxation of interior stress in nanoarray, the existence of unlithiated  $\text{Co}_3\text{O}_4$  phase will still result in the delivery of a lower capacity than nanosheet.

#### 4. CONCLUSIONS

In summary, we demonstrate explicitly the dependence of lithiation mechanism on  $\text{Co}_3\text{O}_4$  nanostructures by unraveling and comparing the microscopic lithiation/delithiation behaviors of  $\text{Co}_3\text{O}_4$  nanoarrays and nanosheets, which also explains the existing controversy in literature. The root cause of the nanostructure dependence is identified to be different lithiation kinetics intrinsic to the two nanostructures, with slower kinetics leading to one-step conversion in  $\text{Co}_3\text{O}_4$  nanoarrays at high discharge rates, in contrast to the two-step conversion in  $\text{Co}_3\text{O}_4$  nanosheets with higher lithiation kinetics. Furthermore, *in situ* TEM reveals larger volume change in  $\text{Co}_3\text{O}_4$  nanoarrays, which in coupling with the slow lithiation kinetics raises internal stress during cycling and eventually causes fracture and irreversible capacity loss, while high structural reversibility and low interior stress of  $\text{Co}_3\text{O}_4$  nanosheets contribute to the high cycling stability and capacity retention, facilitated by the fast lithiation kinetics. Overall, this work provides important insights into the interplay among lithiation kinetics, phase evolution and lithium storage performance which can be translated into electrode design strategies for next generation LIBs.

#### ASSOCIATED CONTENT

Four videos (avi) showing morphological change in two  $\text{Co}_3\text{O}_4$  nanoarrays and a  $\text{Co}_3\text{O}_4$  nanosheet, and sudden breakage of a nanoarray at the 6<sup>th</sup> discharge/charge cycles. Further information concerning three tables for the summary of the morphological change for the reference positions in two  $\text{Co}_3\text{O}_4$  nanoarrays and one  $\text{Co}_3\text{O}_4$  nanosheet, some snapshots from supporting information Video SI3 showing microstructural evolution of another  $\text{Co}_3\text{O}_4$  nanoarray, specific capacity-cycle plots of  $\text{Co}_3\text{O}_4$  nanosheets and nanoarrays, areal capacity-cycle plots of CC, voltage profiles of CC,  $\text{CC}@ \text{Co}_3\text{O}_4$  nanoarrays and  $\text{CC}@ \text{Co}_3\text{O}_4$  nanosheets lithiated to different voltages, TEM and HRTEM images of  $\text{Co}_3\text{O}_4$  nanosheets at the lithiated voltage of 1.2 V with the current density of  $500 \mu\text{A cm}^{-2}$  and at the lithiated voltage of 0.01 V with the current density of  $20 \mu\text{A cm}^{-2}$ , TEM and HRTEM images of  $\text{Co}_3\text{O}_4$  nanoarrays at the lithiated voltage of 1.2 V at the current density of  $20 \mu\text{A cm}^{-2}$ , XRD patterns of Kapton films, the experiment setup of “TEM grid in a coin cell”, fast fourier transform (FFT) patterns of  $\text{Co}_3\text{O}_4$  nanoarrays and nanosheets and also EELS spectra and SAED diffraction patterns of  $\text{Co}_3\text{O}_4$  nanoarrays at three different states: the pristine, the lithiated, and the delithiated state, and comparison of unit elongation ratios of nanoarrays and nanosheets as well as comparison of reaction front migration speed of nanoarrays and nanosheets can be found in the supplementary pdf. This material is available free of charge *via* the Internet at <http://pubs.acs.org>.

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### **Author Contributions**



‡These authors contributed equally. The manuscript was written through contributions of all authors. All authors have given approval to the final version of the manuscript.

## Notes

The authors declare no competing financial interest.

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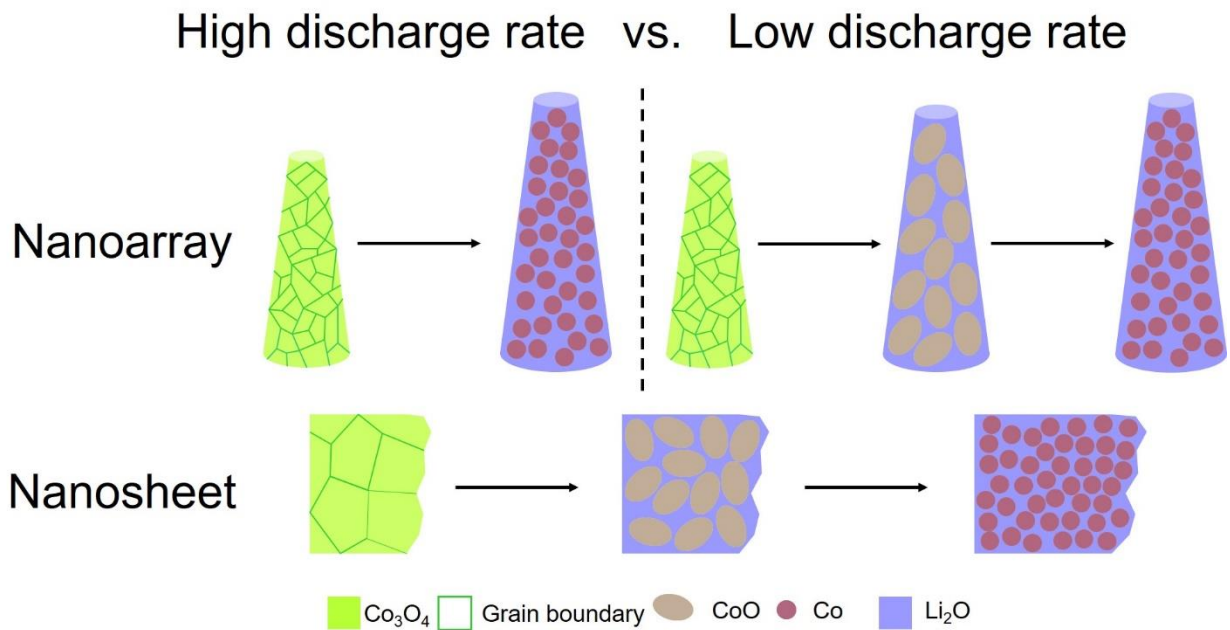
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# Graphical abstract



An in-depth mechanistic study on the influence of novel  $\text{Co}_3\text{O}_4$  nanostructures on LIB performance is conducted. Different conversion reactions resulting from different  $\text{Co}_3\text{O}_4$  nanostructures are for the first time revealed. This work not only explains the existing controversy about multi-step/single-step conversion reactions in  $\text{Co}_3\text{O}_4$  anodes, but also provides critical insight towards nanostructure optimization for better LIB performance.