

# **An Investigation of Synthesis, Electrochemistry and Thermal Stability of Ball-milled Si-based Alloy Anodes in Lithium-ion Batteries**

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## **Abstract**

The huge volume change of Si anode with fast capacity degradation limits its commercialization in LIBs. The co-introduction of metal and O elements into the Si bulk fabricating Si-metal silicide-Si oxides composites has been proven an effective way to overcome this issue. Among them, Si-CuO composites, due to financial feasibility and environmentally compatibility, have attracted much attention recent years but still with the unsatisfactory cycle performance. In order to optimize the cycle stability of Si-CuO composites, NiO is firstly introduced into the Si-CuO system with different proportion from 10 % to 20 % by a facile and low-cost HEBM method. The study reveals that Si<sub>72</sub>CuO<sub>8</sub>NiO<sub>20</sub>, with the least volume change percentage of ~ 133 %, has a highest capacity retention of ~ 86.9% after 100 cycles at 0.2 C and average coulombic efficiency of ~ 99.4 % as well as a competitive

volumetric capacity of  $\sim 1700 \text{ Ah}\cdot\text{L}^{-1}$  based on the 2<sup>nd</sup> lithiation. These results confirm the effectiveness of the NiO introduction to improve the cycle performance of the Si-CuO composites. Moreover, in order to make sure the ball-milled Si-CuO-NiO precursors can be well compatible with the high-temperature post-treatment of coating a carbon layer, the thermal stability of  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  is also conducted with the best cycle stability at 600 °C.

## Introduction

The conventional graphite anode in Li-ion batteries (LIBs) has not yet met the market demand due to its relatively low capacity,  $\sim 370 \text{ mAh}\cdot\text{g}^{-1}$  or  $\sim 719 \text{ Ah}\cdot\text{L}^{-1}$  [1, 2]. Compared with graphite, silicon (Si) has a higher specific capacity of  $\sim 3580 \text{ mAh}\cdot\text{g}^{-1}$  or  $\sim 2194 \text{ Ah}\cdot\text{L}^{-1}$  at the room temperature, corresponding to an about 34% increase in energy density of a full cell, even when application standards are considered [2, 3]. This makes Si one of the most promising anodes for the next generation LIBs. However, one of the biggest challenges faced by Si anodes is the fast capacity fading caused by the huge volume changes during the lithiation-delithiation processes [2]. To be specific, Li insertion could increase the volume of Si by  $\sim 280\%$  while Li extraction would in principle cause a lattice shrinkage by the same degree [2]. Such repetitive volume expansion and contraction during cycling would lead to the disruption of Si particles and unstable solid electrolyte interphase (SEI), resulting in the poor electrical contact between active materials and conductive matrix, mechanical failure of the electrode, and a higher impedance in the cell [4-6]. Accordingly, more  $\text{Li}^+$  will likely be trapped in the bulk of Si during the delithiation process and simultaneously some  $\text{Li}^+$  are irreversibly consumed due to the secondary

SEI formation [7]. Therefore, it is the key to alleviate the large volume change of Si anode for achieving the ideal electrochemical performance.

Applying transition metal elements (M) to alloy with Si and form Si/metal silicides can be an effective way to mitigate the aforementioned issues. The formed metal silicides are generally inactive to  $\text{Li}^+$  [8] or have limited lithiation capacities [9, 10]. When Si particles are dispersed in the inactive matrix, its volume change can be effectively diluted [11, 12]. Although with sacrifice of some gravimetric specific capacity, the resulted volumetric specific capacity and energy density in Si-M alloy anodes are still quite competitive [13]. Practically, the high-energy ball-milling (HEBM) is an efficient method for synthesizing Si-M alloys anodes. During the milling process, the nanocrystalline Si with a high amorphous degree can be obtained, which is also considered a positive effect on the cycle performance [14, 15]. Based on the above advantages, there are already extensive works focusing on fabricating Si-M alloy anodes via HEBM method these years, like Si-Mo [16], Si-W [17], Si-Mn [18], Si-Ti [19], Si-Ni [20], Si-Fe [8], and Si-Cu [21] systems. These investigations indicate the enormous application potential of ball-milled Si-M alloy anodes, and the better electrochemical performance is still desirable for commercialization [22].

The recent studies revealed the introduction of O element into Si-M alloy anodes can further improve the cycle performance and coulombic efficiency and such Si-based anodes mainly consist of Si, doped metal silicides and amorphous Si oxides [22, 23]. In addition to maintain the merit of silicide, amorphous Si oxides can also be intercalated by  $\text{Li}^+$  producing inactive lithium silicates in the first cycle [22], which are significantly helpful to buffer the large volume change of Si yielding a more stable SEI and longer life cycle [24]. Nevertheless, the formation of Si oxides is usually conducted under the high-temperature condition (approximately 1400 °C) via the

reaction between Si and SiO<sub>2</sub>, which is an energy-consuming and expensive process [25-27]. Therefore, a low-cost and facile method for O introduction into Si-M systems would be necessary. Considering the suitability of HEBM method for fabricating Si-M alloy anodes and large-scale production, a feasible solution is to use a metal oxide substituting for a pure metal element to alloy with Si. Under the condition of non-equilibrium driven by high mechanical energy [28], the processed Si-based composites are expected to produce metal silicides and amorphous Si oxides simultaneously. This HEBM approach has been evaluated recently by Chia-Chin Chang's group [28, 29] and Peng Yu's group [30]. Both groups used Si and CuO as the raw materials to synthesize the Si-CuO composites. With the synergistic effect of the in-situ generated Cu<sub>3</sub>Si and Si oxides, the ball-milled Si-CuO composites yielded enhanced cycle stabilities. Moreover, the fabrication of Si-CuO composites is claimed to be financial/technical feasible and environmentally compatible, showing great promises in enabling high energy Si-based anodes [9]. Yet there is still much room for improvement of ball-milled Si-CuO composites, and therefore investigations and optimizations are favored.

Herein, we firstly propose an alternative way of introducing NiO to the ball-milled Si-CuO composites to optimize the electrochemical performance. The reasons choosing NiO are as following: 1) the introduction of NiO could also provide O element to the Si-based composites forming more Si oxides. Simultaneously, NiO is predicted to react with Si to form NiSi<sub>2</sub> within a proper ratio range [20]; 2) Different from Cu<sub>3</sub>Si, NiSi<sub>2</sub> is a Si-rich compound meaning there will be more active Si stored in the metal silicide when part of CuO is replaced with NiO. Correspondingly, the volume change of Si-based anodes would be effectively diluted [12]; 3) The ball-milled Si-based precursors often need to a post-treatment of coating a protective

carbon layer for further enhancing the electrical conductivity, alleviating the volume change, stabilizing the SEI and prolonging life cycle [17, 28, 31]. However, this post-treatment is generally a high-temperature process [22] and a high-quality carbon coating requires ball-milled Si-based precursors to maintain the nano-crystalline/amorphous microstructure as much as possible [5, 16]. Due to a higher melting point of Ni (~ 1453 °C) than the one of Cu (~ 1083.4 °C), the introduction of NiO would be expected to impart good high-temperature tolerance onto the composites [16, 17]. Therefore, we present the HEBM-synthesized of Si-CuO-NiO composites in a systematic way and compare them with Si-CuO composites. The influences of introducing NiO into the Si-CuO system on the electrochemistry behavior and the cycle performance are highlighted. In addition, a post high-temperature annealing process was also evaluated regarding the cycle stability of the specific Si-CuO-NiO composite.

## Experimental

**Synthesis of Si-CuO/Si-CuO-NiO samples.** The samples were synthesized by the high-energy ball-milling machine (Model HCX-YY-TC-2L, Kunming Haichuangxing Technology Co. Ltd. Yunnan, China) . The mass ratio of ZrO<sub>2</sub> balls ( $\phi$  = 3 mm; 2 kg) to the Si-based powders (90 g) was 20:1 and the rotation speed was set at 1200 rpm. To start with, we introduced a protective gas (Ar) into the milling chamber. The total milling time was 4 h, during which ~0.5 g powder samples were taken out per hour to undergo the X-ray diffraction (XRD) test. For all Si-CuO-NiO samples, the mass ratio of Si powder (the mean particle size is ~ 4  $\mu$ m, Zhejiang Lichen New Materials Technology Co. Ltd, China) to CuO (99.5%, 100 – 200 nm, Macklin) is fixed at 9:1. Then, the mass percentage of NiO (99.0%, -325 mesh,

Aladdin) addition was adjusted to cover the range from 10% to 20%, referring to  $\text{Si}_{81}\text{CuO}_9\text{NiO}_{10}$ ,  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$ . For comparison reasons,  $\text{Si}_{90}\text{CuO}_{10}$  and  $\text{Si}_{76.5}\text{CuO}_{23.5}$  were also prepared and tested to represent 0% NiO samples. Lastly,  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  was chosen for the assessment of high-temperature tolerance sintered at 600, 800 and 900 °C for 3 h in the Ar atmosphere, referring to  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-600}$ ,  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-800}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-900}$ , respectively.

### **Material Characterizations**

The phase structures of the samples were determined by a Panalytical desktop Aeris X-ray diffraction (XRD, Cu  $K\alpha$ ) equipment from 10° to 80° with a scanning rate of 5°/min. Surface morphologies of all samples were observed by a field emission scanning electron microscopy (FESEM, ZEISS Sigma 300, Germany). Transmission electron microscopy (TEM), high-resolution lattices of the chosen materials, elected area electron diffraction (SAED), scanning TEM (STEM) images and element mappings were conducted by TEM (Talos F200x G2). X-ray photoelectron spectroscopy (XPS) was conducted upon the instrument of Thermo ESCALAB 250XI. Particle size of the samples was determined through a particle size analyzer (Malvern Mastersizer 2000, UK) and the true density of ball-milled samples was measured by a fully automatic density analyzer (AccuPyc II 1340, USA).

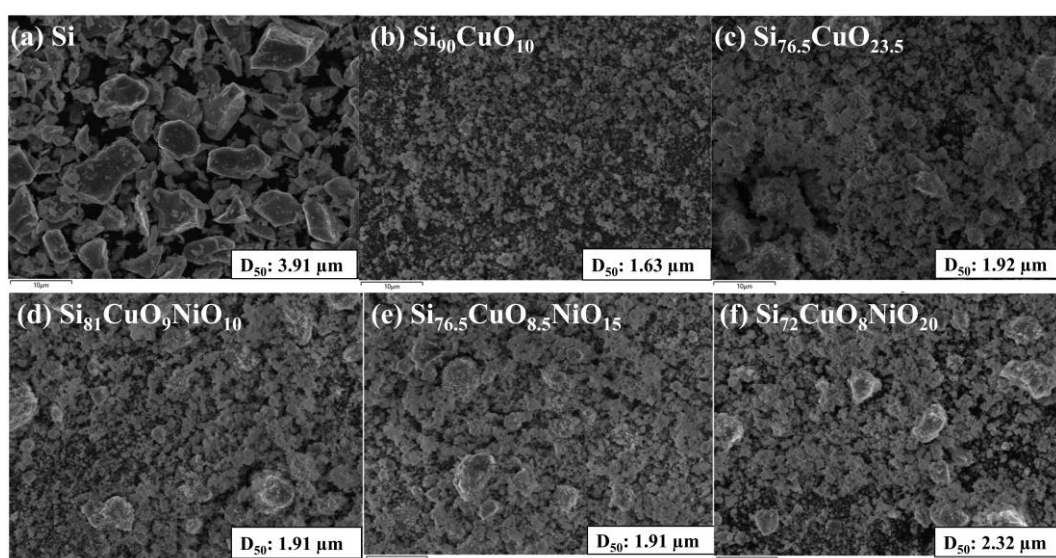
### **Cell preparation and testing**

The electrochemical performance was evaluated with CR2025-type coin cells. The electrode slurries were prepared by mixing the active material, Super P and CMC-Na (sodium carboxymethyl cellulose, viscosity: 1000 – 1400 mPas, Aladdin)/PAA (polyacrylic acid,  $M_v \sim 3,000,000$ , Aladdin) in the mass ratio of 70:15:7.5:7.5 in deionized water. The working electrodes were fabricated by uniformly coating the slurries onto the Cu foil current collector with an active mass

loading of  $0.7 - 1.4 \text{ mg}\cdot\text{cm}^{-2}$  corresponding to the area capacity of  $2.1 - 2.6 \text{ mAh}\cdot\text{cm}^{-2}$ . The electrodes were then dried in vacuum at  $80 \text{ }^\circ\text{C}$  for 12 h, followed by  $150 \text{ }^\circ\text{C}$  for 1 h. the prepared electrode sheet was cut into small disk electrodes with a diameter of 12 mm. With the Li foil as a counter electrode, the coin cells were assembled in an argon-filled glovebox ( $\text{H}_2\text{O} \leq 0.5 \text{ ppm}$ ,  $\text{O}_2 \leq 0.5 \text{ ppm}$ ) (MBRAUN, Germany). The electrode separator was a Celgard 2400 membrane, and the electrolyte was a 1M  $\text{LiPF}_6$  solution in a mixture of ethylene carbonate (EC) and dimethyl carbonate (DMC) at a volume ratio of 1:1 with 10% (volume) FEC (fluoroethylene carbonate) as the additive. The C-rate was determined by applying the current density of  $100 \text{ mA}\cdot\text{g}^{-1}$  during the first cycle for all cells and the obtained lithiation capacity was adopted as 1C. Then, all cells were cycled under the current density of 0.2C in the voltage range of  $0.01 - 1 \text{ V}$  versus  $\text{Li}/\text{Li}^+$  since the second cycle.

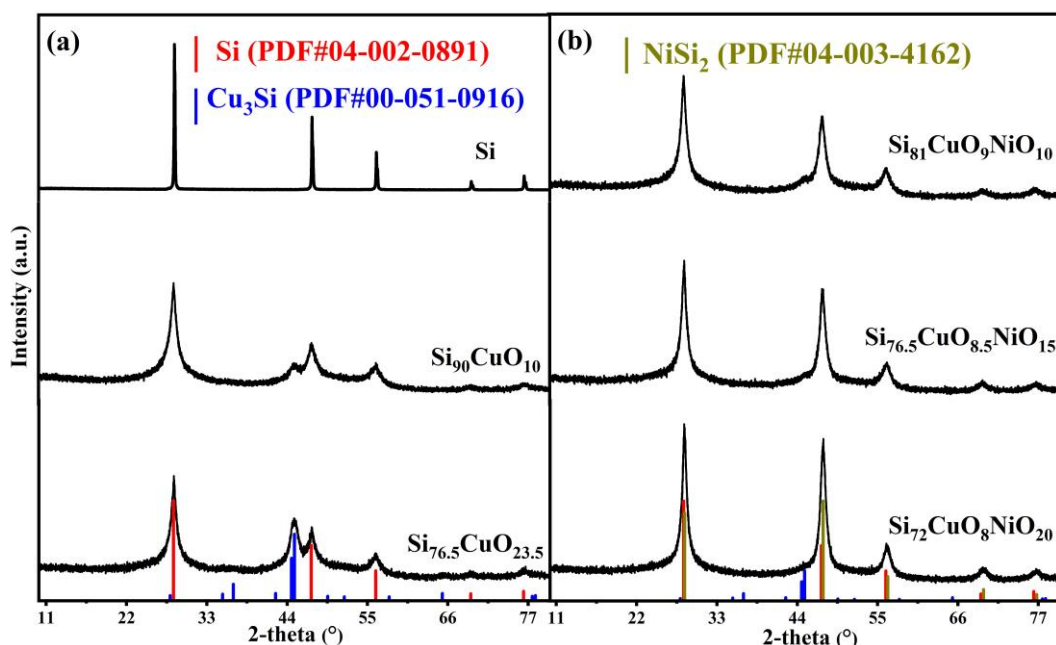
## Results and Discussion

### 1) Material Characterizations



**Figure 1.** (a-h) SEM pictures of Si, Si-CuO and Si-CuO-NiO samples. The data of  $D_{50}$  for each sample were provided in the inserted white box on each picture.

The morphology of all the samples are shown in Figure 1 with the mean size ( $D_{50}$ ) stated. The shape of the pristine Si particles is irregular under SEM with a relatively larger  $D_{50}$  of  $\sim 3.9 \mu\text{m}$ . As for all the other ball-milled samples, no obvious difference in morphology and particle size is observed under the chosen magnification with the  $D_{50}$  of  $1.6 \mu\text{m} - 2.4 \mu\text{m}$ . The similar particle size here may help to ensure fair comparisons, i.e., the effect of particle sizes is minimized. Consequently, the influence of NiO additions on the electrochemical performances of the Si-based electrodes can be investigated and discussed in isolation.



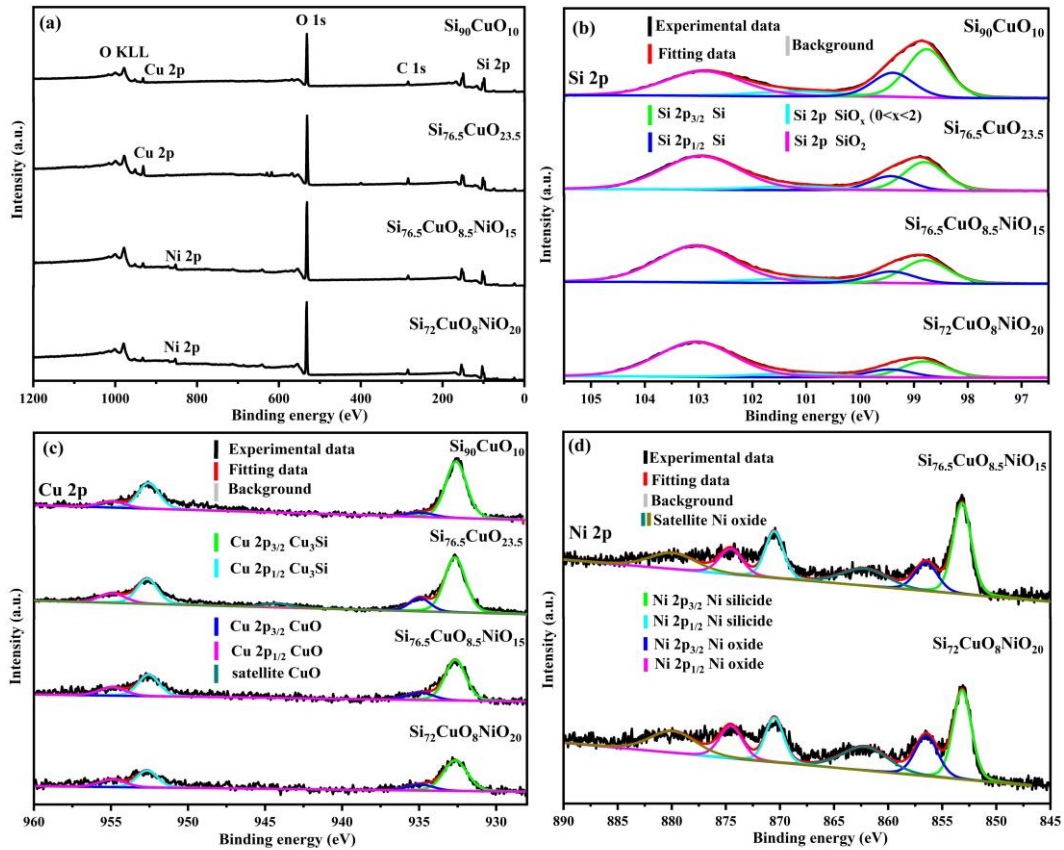
**Figure 2.** (a) XRD patterns of Si, Si-CuO samples and (b) XRD patterns Si-CuO-NiO samples

Figure 2 shows the diffraction patterns of pure Si and the ball-milled samples and the confirmation of phases is based on ICDD PDF-4+ released in 2009. There are no diffraction peaks related to CuO/NiO in Figure 2, indicating that both oxides have already reacted with Si and/or partly exist in the amorphous state. The diffractograms of pure Si and Si-CuO samples are shown in Figure 2(a). The former exhibits sharp peaks at  $28.4^\circ$ ,  $47.3^\circ$ ,  $56.1^\circ$ ,  $69.1^\circ$  and  $76.3^\circ$  which are in line with crystalline Si



(PDF#04-002-0891). Differently, Si in the Si-CuO samples exhibits a significantly lower crystallinity, as supported by the peak broadening. Together with the Scherrer equation, the average grain size of Si in each sample can be estimated, such that an evident decrease in the grain size for pristine Si after the 4-hour milling, from ~80 nm in pure Si to ~ 8 nm in the Si-CuO samples. The two overlapped peaks at  $44.5^\circ$  and  $44.9^\circ$  in  $\text{Si}_{90}\text{CuO}_{10}$  and  $\text{Si}_{76.5}\text{CuO}_{23.5}$  indicate the formation of  $\text{Cu}_3\text{Si}$  (PDF#00-051-0916) with the grain size of ~ 7 nm and their relative intensities increases with the introduction of higher CuO contents.

The peaks related to  $\text{Cu}_3\text{Si}$  become inconspicuous in the diffractograms of the three Si-CuO-NiO samples in Figure 2(b), implying a higher amorphization degree of  $\text{Cu}_3\text{Si}$  [28, 29].  $\text{NiSi}_2$  is expected to be formed in this system with the diffraction peaks overlapping the ones of Si, and thus difficult to distinguish [32]. However, the relative peak intensities between these two phases are different, which can assist us to identify the existence of  $\text{NiSi}_2$  [33]. Figure S1 shows the phase evolution of  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  during the milling process and with the extension of the milling time, the peaks related to NiO gradually become weaker, and eventually disappear after 4-hour milling. At the same time, the relative intensity of the peak at  $47.3^\circ$  is gradually increasing, which corresponds to the strongest peak of  $\text{NiSi}_2$  (PDF#04-003-4126, referring to ICDD PDF-4+). Eventually, the ratio (100 : 91.7) of the peaks at  $28.4^\circ$  and  $47.3^\circ$  in  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  through 4-hour milling better consistent to the one (88.1 : 100) of  $\text{NiSi}_2$  in the standard card, whereas this value in samples of pristine Si and Si-CuO are much closer to the theoretical value of Si (100 : 55.5). In addition, no peaks related to other Ni silicides are observed, further suggesting the most possibility of the crystalline  $\text{NiSi}_2$  formation in the Si-CuO-NiO composites by the reaction of NiO and Si during the ball-milling process.

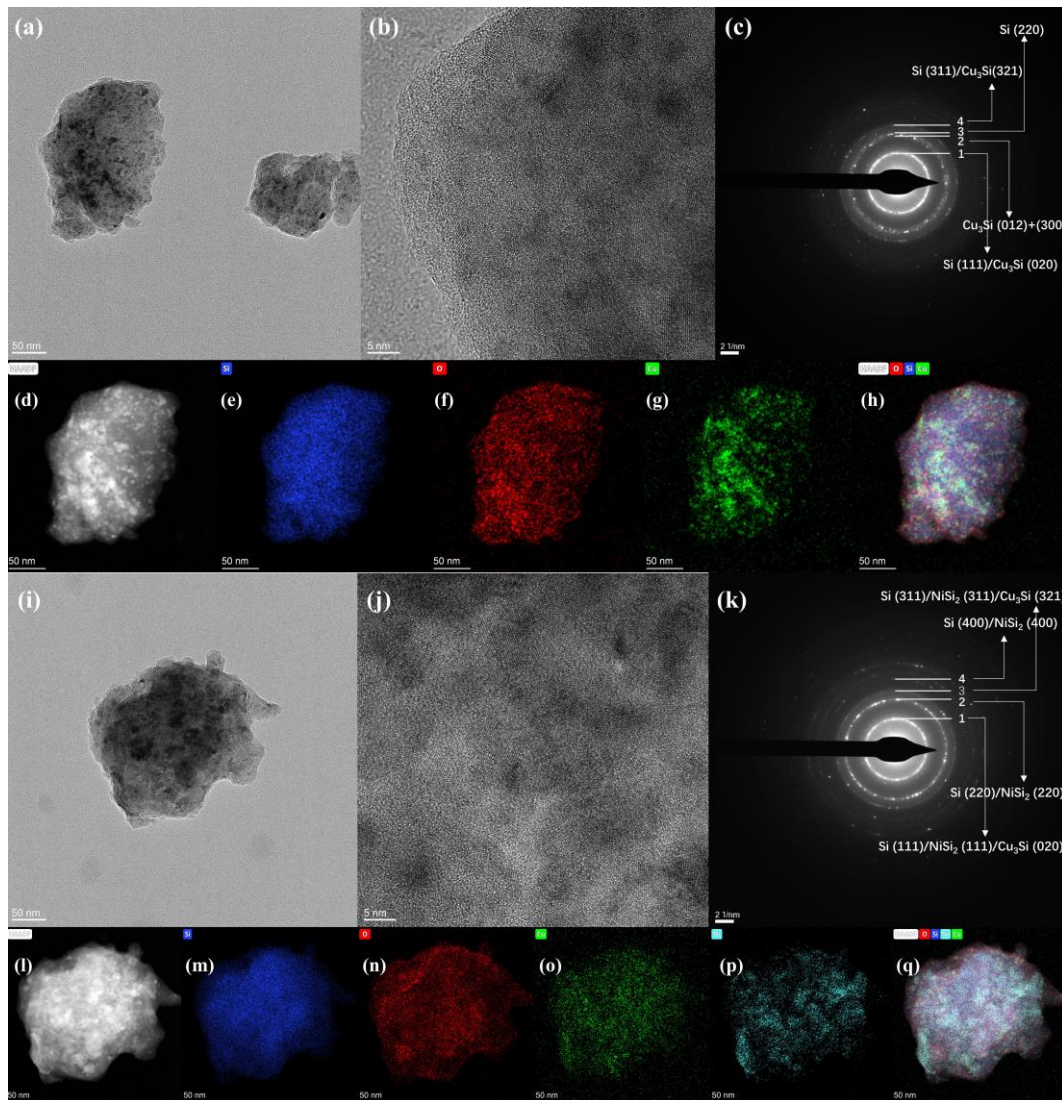


**Figure 3.** (a) XPS full spectra, (b) Si 2p spectra, (c) Cu 2p spectra of  $\text{Si}_{90}\text{CuO}_{10}$ ,  $\text{Si}_{76.5}\text{CuO}_{23.5}$ ,  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  samples. (d) Ni 2p spectra of  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  samples.

The XPS technique is employed to investigate the chemical state of different elements in the samples of  $\text{Si}_{90}\text{CuO}_{10}$ ,  $\text{Si}_{76.5}\text{CuO}_{23.5}$ ,  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$ . Figure 3(a) shows the full spectra of the samples and the peaks related to Si 2p, O 1s, Cu 2p and Ni 2p can be observed, confirming the existence of Si, O, Cu and Ni elements on the surface of the samples. Figure 3(b) presents the original XPS spectra as well as the results after fitting for Si 2p, revealing that the chemical state of Si element on the sample surfaces are similar. The peaks at around 98.8 eV and 99.4 eV are assigned to Si 2p<sub>3/2</sub> and Si 2p<sub>1/2</sub>, most likely from elemental Si in pure Si and Cu<sub>3</sub>Si [34, 35], respectively. Meanwhile, the peaks at around 103 eV and 101.2 eV are suggested to be contributed by SiO<sub>2</sub> and SiO<sub>x</sub> (0 < x < 2) [30, 34], respectively. Obviously, SiO<sub>2</sub>, as the major form among all kinds of Si oxides, is detected on the surface of the samples. It is supported by the XPS fitting data that the

SiO<sub>2</sub> content follows a monotonical increase with the amount of the metal oxides. This correlation implies that a part of the SiO<sub>2</sub> formation on the particle surface may partly be contributed by the reactions between Si and CuO/NiO, especially since the Ar condition is maintained during the milling process

Figure 3(c) presents the Cu 2p spectra of the samples. The peaks at around 932.6 eV and 952.6 eV shows that the chemical state of Cu element on the surface is mainly in its zero valence instead of +2 valence, further proving the reduction reaction between CuO and Si during the ball-milling process. Due to the identical XPS binding energy of Cu 2p<sub>3/2</sub> in Cu<sub>3</sub>Si and pure Cu [35], in conjunction with the XRD results, it is suggested that the two peaks most likely originate from the elemental Cu of produced Cu<sub>3</sub>Si. The Ni 2p spectra of Si<sub>76.5</sub>CuO<sub>8.5</sub>NiO<sub>15</sub> and Si<sub>72</sub>CuO<sub>8</sub>NiO<sub>20</sub> can be seen in Figure 3(d). The peaks at around 853.1 eV and 870.5 eV are assigned to Ni 2p<sub>3/2</sub> and Ni 2p<sub>1/2</sub> of Ni silicide [36, 37], respectively. We find the XPS binding energies of these two peaks are closer to the ones of Ni<sub>31</sub>Si<sub>12</sub> or Ni<sub>2</sub>Si instead of NiSi<sub>2</sub>, in which the peaks of Ni 2p<sub>3/2</sub> and Ni 2p<sub>1/2</sub> are around 854.6 eV and 871.8 eV [36, 37], indicating that NiO has probably been reduced by Si. Whereas the mechanism of how Ni-rich silicides form on the surface has not been fully understood at this moment , thereby warrants further investigations. In addition, the peaks assigned to CuO [30] and NiO [38] in the Cu 2p and Ni 2p spectra can be also found in Figures 3(c-d) indicating that there might be the minor amorphous metal oxides remaining in the Si-CuO and the Si-CuO-NiO samples, which are not completely consumed after our milling process. To sum up, the XPS results demonstrate the existence of Si oxides, elemental Si and Cu on the surface of the chosen samples with minor residual metal oxides, whereas the peaks related to NiSi<sub>2</sub> are not detected in this study.



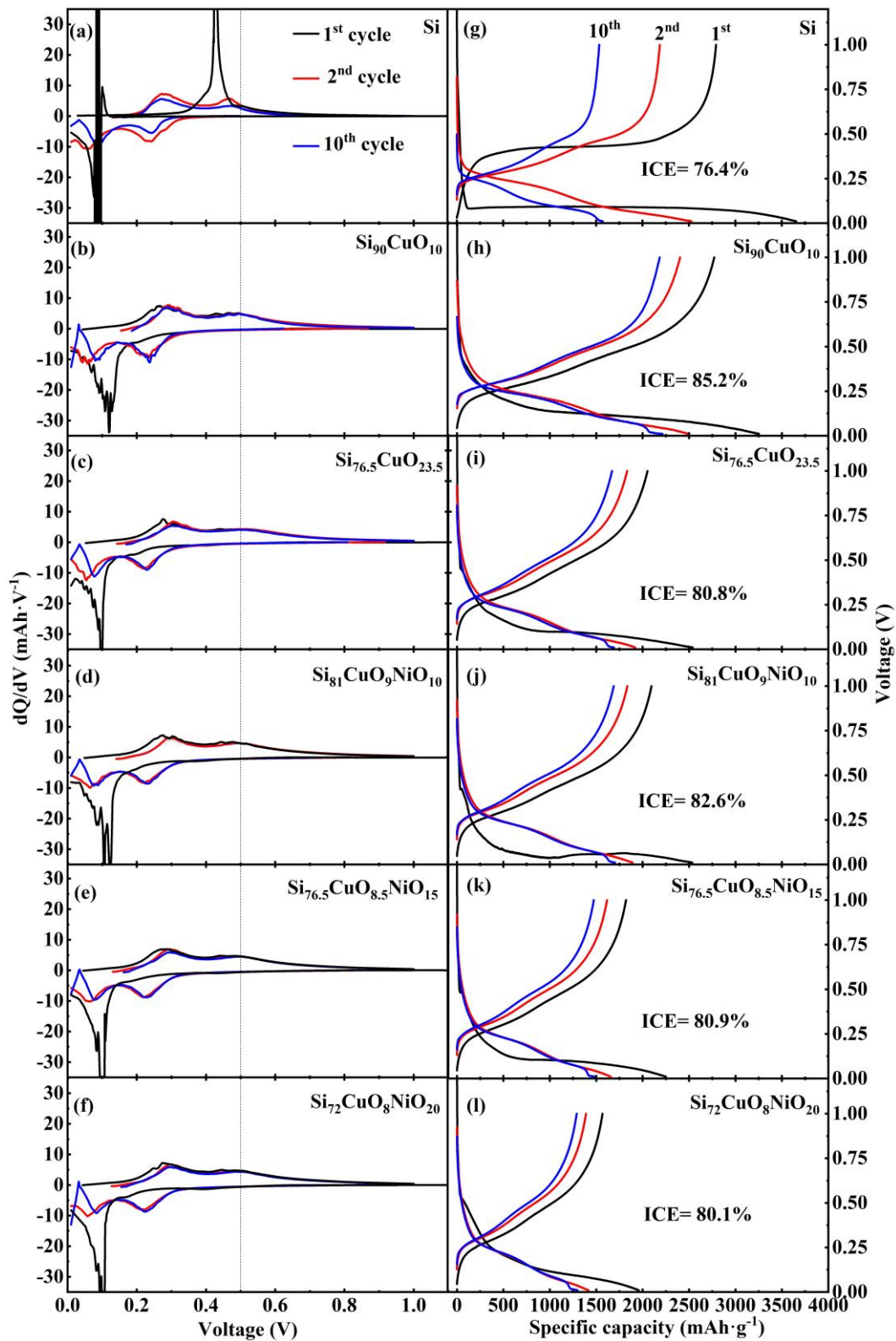
**Figure 4.** TEM images of  $\text{Si}_{76.5}\text{CuO}_{23.5}$  and  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  samples: (a) and (i) BF images, (b) and (j) HREM images, and (c) and (k) SAED patterns; STEM images of  $\text{Si}_{76.5}\text{CuO}_{23.5}$  and  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  samples: (d) and (l) STEM images, (e) and (m) Si maps (dark blue color), (f) and (n) O maps (red color), (g) and (o) Cu maps (green color), (p) Ni maps (only for  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$ , light blue color), (h) Si, O and Cu substitution overlaps for  $\text{Si}_{76.5}\text{CuO}_{23.5}$  and (q) Si, O, Cu and Ni substitution overlaps for  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$ .

In order to confirm the microstructure and the element distribution, the typical samples of  $\text{Si}_{76.5}\text{CuO}_{23.5}$  and  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  are chosen to undergo TEM and STEM tests as well as considering their same metal oxides proportion. According to the bright field (BF) images shown in Figures 4(a, i) and HRTEM images of Figures 4(b, j), the ball-milled Si-based particles are composed of many dispersed nanocrystallites and some amorphous regions (among the crystallites or on the edge of the particles). These amorphous regions in the two samples are possibly amorphous Si

oxides or residual metal oxides based on the XRD and XPS results. By analyzing the SAED pattern in Figures 4(c, k), we could get to know the nano-crystallites derive from Si,  $\text{Cu}_3\text{Si}$  and  $\text{NiSi}_2$ , respectively. As mentioned before, Si and  $\text{NiSi}_2$  have similar crystalline structures with the almost identical lattice parameter [32]. Thus, they are considered to be represented by the same diffraction rings. No other Ni silicides are observed from the diffraction rings in Figure 4(k). Combining with the XRD results, it is suggested that  $\text{NiSi}_2$  exists as the only crystalline Ni silicide in  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  among various Si-Ni compounds after our ball-milling process. Besides, the element distribution in ball-milled Si-based alloys is the other key factor since a better cycling performance is expected from a sample with a better homogeneity [6, 38]. The bright regions in STEM images (Figure 4(d) and 4(l)) denotes the doped metal elements. The element mapping and the related substitution overlaps (Figures 3(d-h, 1-q)) further confirm the existence of Si, O, Cu and Ni elements, consistent to the XPS results. Clearly, all the elements in the  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  sample are homogeneously distributed. However, the Cu element in  $\text{Si}_{76.5}\text{CuO}_{23.5}$  seems to exhibit agglomerations to some extent within the scanned region.

Herein, combining the results of XRD, XPS, TEM and STEM, we draw the conclusion that after the 4-hour ball-milling process for the Si-CuO and Si-CuO-NiO composites, the obtained samples mainly consist of nanocrystalline Si, doped metal silicide, and amorphous Si oxides while a uniform element distribution is observed for the  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  sample.

## 2) Electrochemical characterizations



**Figure 5.** (a-f)  $dQ/dV$ -voltage curves of the 1<sup>st</sup>, 2<sup>nd</sup> and 10<sup>th</sup> cycle of Si, Si-CuO and Si-CuO-NiO samples, and (g-l) their corresponding voltage-capacity curves.

The electrochemical behaviors of Si, Si-CuO and Si-CuO-NiO samples are investigated by presenting their differential capacity-voltage ( $dQ/dV$ ) curves in Figures 5(a-f) and corresponding voltage-capacity curves in Figures 5(g-l). Evidently, the 1<sup>st</sup> lithiation for all samples show distinctive features from the subsequent cycles, giving a pronounced lithiation peak at around 0.1 V versus Li/Li<sup>+</sup> in the  $dQ/dV$  curves corresponding to a lithiation plateau at the same potential in the voltage-capacity curves. This lithiation peak is indicative of a two-phase co-existence region of cr-Si and amorphous Li<sub>x</sub>Si ( $0 < x \leq 3.5$ ) [39, 40]. Compared with pure Si, this peak becomes broader for the Si-CuO and Si-CuO-NiO samples, which may be due to the microstructure change of the ball-milled Si particles with lower crystallinity [19, 20].

For the 1<sup>st</sup> delithiation, only one noticeable peak at ~ 0.43 V in the  $dQ/dV$  curve of pristine Si can be seen (Figure 5a), whereas two pronounced peaks at around 0.3 V and 0.5 V vs. Li/Li<sup>+</sup> exist in the  $dQ/dV$  curves of the Si-CuO and Si-CuO-NiO samples, representing the transformation from a-Li<sub>3.5</sub>Si to a-Li<sub>2</sub>Si and from a-Li<sub>2</sub>Si to a-Si, respectively [39, 40]. The appearance of 0.43 V delithiation peak is a sign of cr-Li<sub>3.75</sub>Si generated in the Si bulk, which is considered detrimental to the electrochemical performance as a result from the mismatched volume change in the phase boundary between cr-Li<sub>3.75</sub>Si and amorphous Li<sub>x</sub>Si alloy [41]. Correspondingly, pristine Si has a lowest initial coulombic efficiency (ICE) of 76.4 % (Figure 5(g)) in this study suggested to be partly caused by the generation of cr-Li<sub>3.75</sub>Si leading to bigger fracture of the electrode with more Li<sup>+</sup> trapped in the Si bulk during the first delithiation [41]. On the other hand, this peak becomes obscure in the  $dQ/dV$  curves of the Si-CuO and Si-CuO-NiO samples mainly ascribed to stress-voltage coupling induced by formed Cu<sub>3</sub>Si and NiSi<sub>2</sub> [8, 42, 43]. These inactive phases can impose a compressive stress on the expanded Si bulk during the lithiation, for example, a

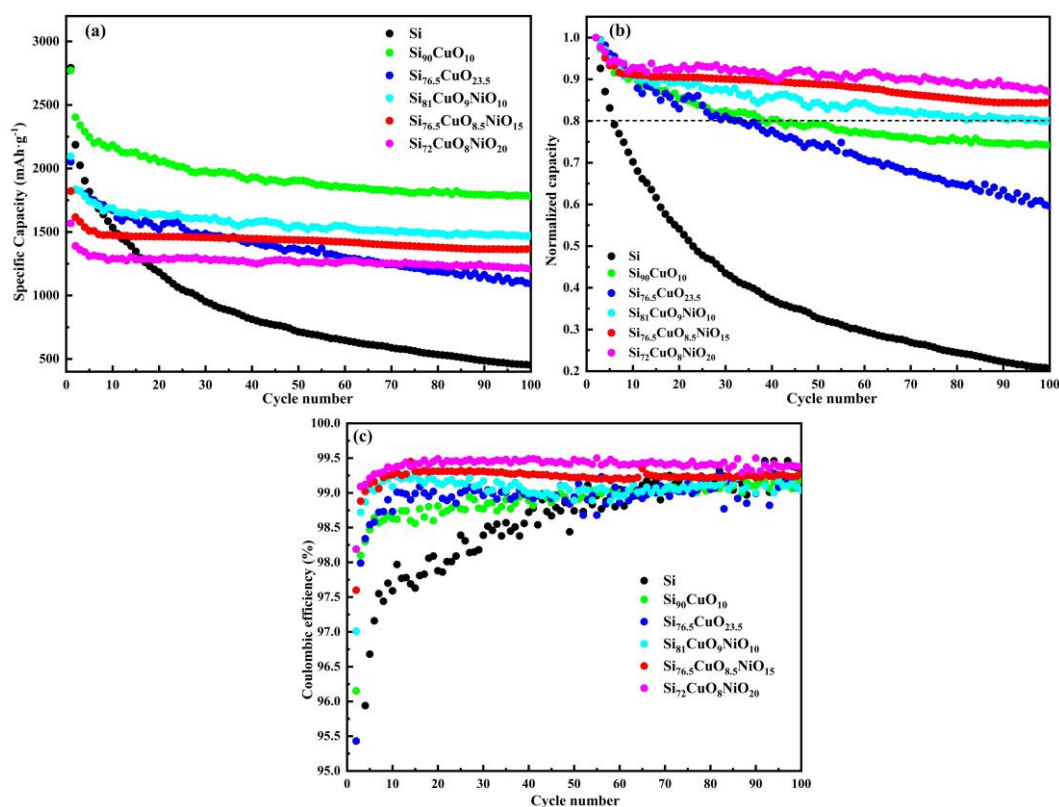
higher compressive stress of 1.5 GPa will negatively shift the lithiation potential as much as 200 mV to completely avoid the formation of cr-Li<sub>3.75</sub>Si [2, 8, 42, 43]. For the ball-milled samples, a negative correlation is observed between the ICEs and the metal oxides content. The up to 28% addition of metal oxides leads to an ICE variation from 85.2 % to 80.1% (Figures 5(h-1)). This correlation could partly be caused by the introduction of more oxides, such as the irreversible lithiation of the formed Si oxides [22] and/or native metal oxides of the as prepared samples [44, 45]. The drop of ICE can be made up by the prelithiation technology [46].

Since the second cycle, two broad lithiation peaks at around 0.06 V and 0.23 V vs. Li/Li<sup>+</sup> appear in the dQ/dV curves for all the samples, corresponding to a pair of sloping plateaus in the voltage-capacity curves. These two peaks are believed to be indicative of the formation of amorphous Li<sub>2</sub>Si and Li<sub>3.5</sub>Si [47], while the delithiation peak for cr-Li<sub>3.75</sub>Si is always absent among the ball-milled samples in the later cycles similar with the 1<sup>st</sup> delithiation. In brief, the ball-milled Si-CuO and Si-CuO-NiO samples still show the lithiation feature of cr-Si during the first cycle but the generation of cr-Li<sub>3.75</sub>Si is effectively hindered, and thereby positively affecting the electrochemical performance [41]. The introduction of NiO does not seem to vary the underlying reaction mechanisms for the ball-milled Si-CuO and Si-CuO-NiO samples during the first 10 cycles.



**Table 1.** Reversible capacity of 1<sup>st</sup> and 100<sup>th</sup> cycles, 100<sup>th</sup>-cycle capacity retention and ACE of Si, Si-CuO and Si-CuO-NiO samples.

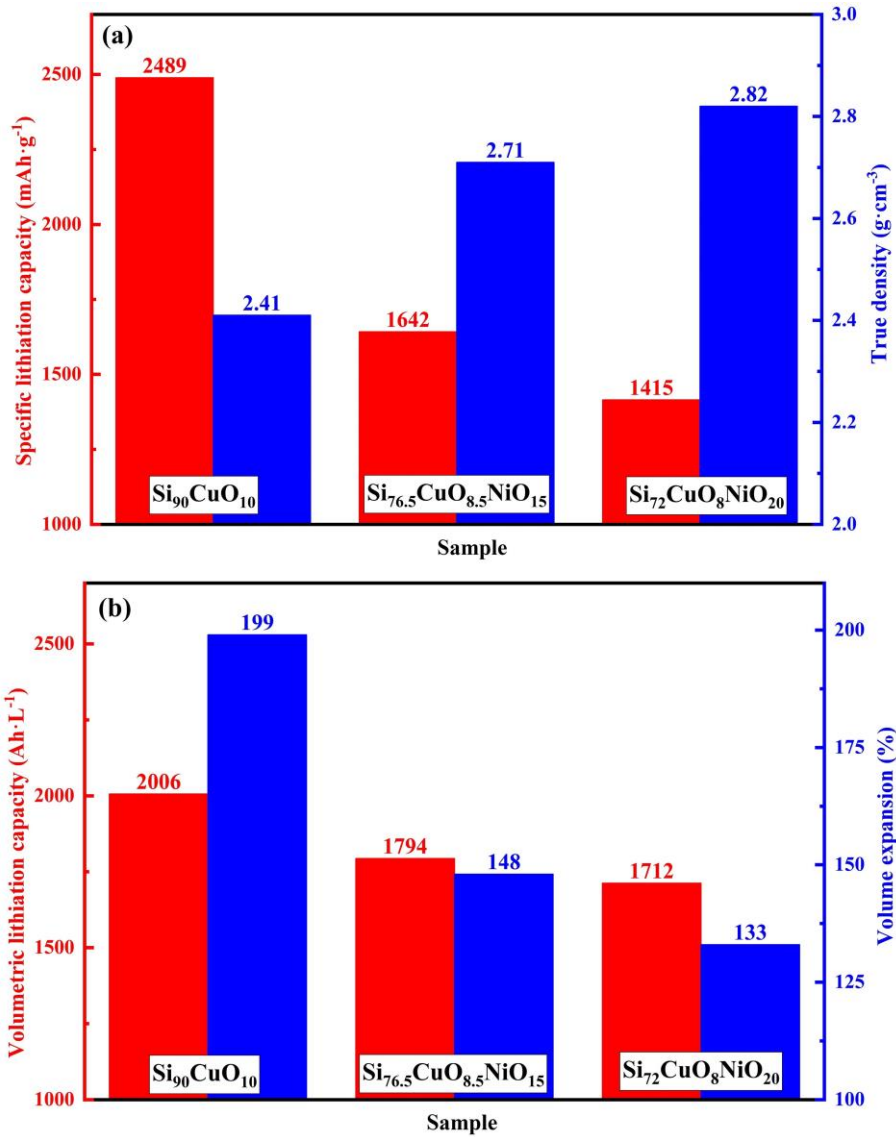
Sample	1 <sup>st</sup> reversible capacity (mAh·g <sup>-1</sup> )	100 <sup>th</sup> reversible capacity (mAh·g <sup>-1</sup> )	Capacity retention of 100 <sup>th</sup> -cycle (% based on 2 <sup>nd</sup> cycle)	ACE (% based on 2 <sup>nd</sup> -cycle)
Si	2792	453	20.7	98.47
Si <sub>90</sub> CuO <sub>10</sub>	2771	1781	74.1	98.89
Si <sub>76.5</sub> CuO <sub>23.5</sub>	2052	1092	59.6	98.94
Si <sub>81</sub> CuO <sub>9</sub> NiO <sub>10</sub>	2095	1471	80.1	99.06
Si <sub>76.5</sub> CuO <sub>8.5</sub> NiO <sub>15</sub>	1821	1366	84.5	99.23
Si <sub>72</sub> CuO <sub>8</sub> NiO <sub>20</sub>	1568	1208	86.9	99.40



**Figure 6.** (a) Specific delithiation capacity vs. cycle number, (b) normalized delithiation capacity (with respect to the second cycle) vs. cycle number and (c) the coulombic efficiency of Si, Si-CuO and Si-CuO-NiO samples.

Next, the cycle stabilities of the Si, Si-CuO and Si-CuO-NiO samples are evaluated by presenting the 100-cycle data in Figures 6(a-c), with the quantitative data listing in Table 1. To start with, the highest initial delithiation capacity is observed for the pristine Si and the capacity decreases by introducing more metal oxides, following a monotonical trend. The formation of the metal silicides and Si

oxides with limited reversible capacity (e.g.,  $\text{Cu}_3\text{Si}/\text{NiSi}_2$  or  $\text{SiO}_x$  [10, 24, 42]), is suggested to be responsible for the capacity decrease. However, the cycling stability of pristine Si is the poorest with a capacity retention of only 20.7% after 100 cycles (Figure 6(b)). When a 10% addition of CuO via ball-milling into Si bulk, it is found to significantly improve the cycling performance, giving 74.1% capacity retention after 100 cycles, consistent to the previous reports [28, 29]. As the CuO content further rises to 23.5%, the cycle performance of  $\text{Si}_{76.5}\text{CuO}_{23.5}$  unexpectedly becomes worse showing a 100<sup>th</sup>-cycle capacity retention of 59.6 %. This result implies solely adding an excessive amount of CuO (23.5%) element could somehow deteriorate the cycle performance of the electrode, ultimately limiting the further improvement of capacity retention [38]. On the other hand, the poorer cycle stability of  $\text{Si}_{76.5}\text{CuO}_{23.5}$  suggests that the Cu/CuO content should be carefully adopted, especially since the Cu/CuO addition is considered a common approach for improvement of the Si-based anodes [28, 30, 38, 48]. Thus, the core strategy of this study is to replace a part of CuO with NiO in order to avoid this issue in the single Si-CuO system. In sharp contrast, the addition of NiO takes significant positive effect to the electrochemical performance. The capacity retention after 100 cycles of Si-CuO-NiO samples continuously increase with more introduction of NiO, from 80.1% in  $\text{Si}_{81}\text{CuO}_9\text{NiO}_{10}$  to 86.9% in  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$ . Moreover, the average coulombic efficiencies (ACE) in Si-CuO-NiO samples are also noticeably enhanced (Figure 6(c)), with the highest one observed in the  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$ , giving an ACE of ~ 99.4% (Table 1). It highlights the importance of the role of NiO addition and confirms introducing a proper amount of NiO into the Si-CuO system could indeed be an effective method to improve the electrochemical performance of Si-based alloy anodes.



**Figure 7.** (a) 2<sup>nd</sup> specific lithiation capacity and true density, and (b) corresponding volumetric lithiation capacity and volume expansion percentage of Si<sub>90</sub>CuO<sub>10</sub>, Si<sub>76.5</sub>CuO<sub>8.5</sub>NiO<sub>15</sub> and Si<sub>72</sub>CuO<sub>8</sub>NiO<sub>20</sub>.

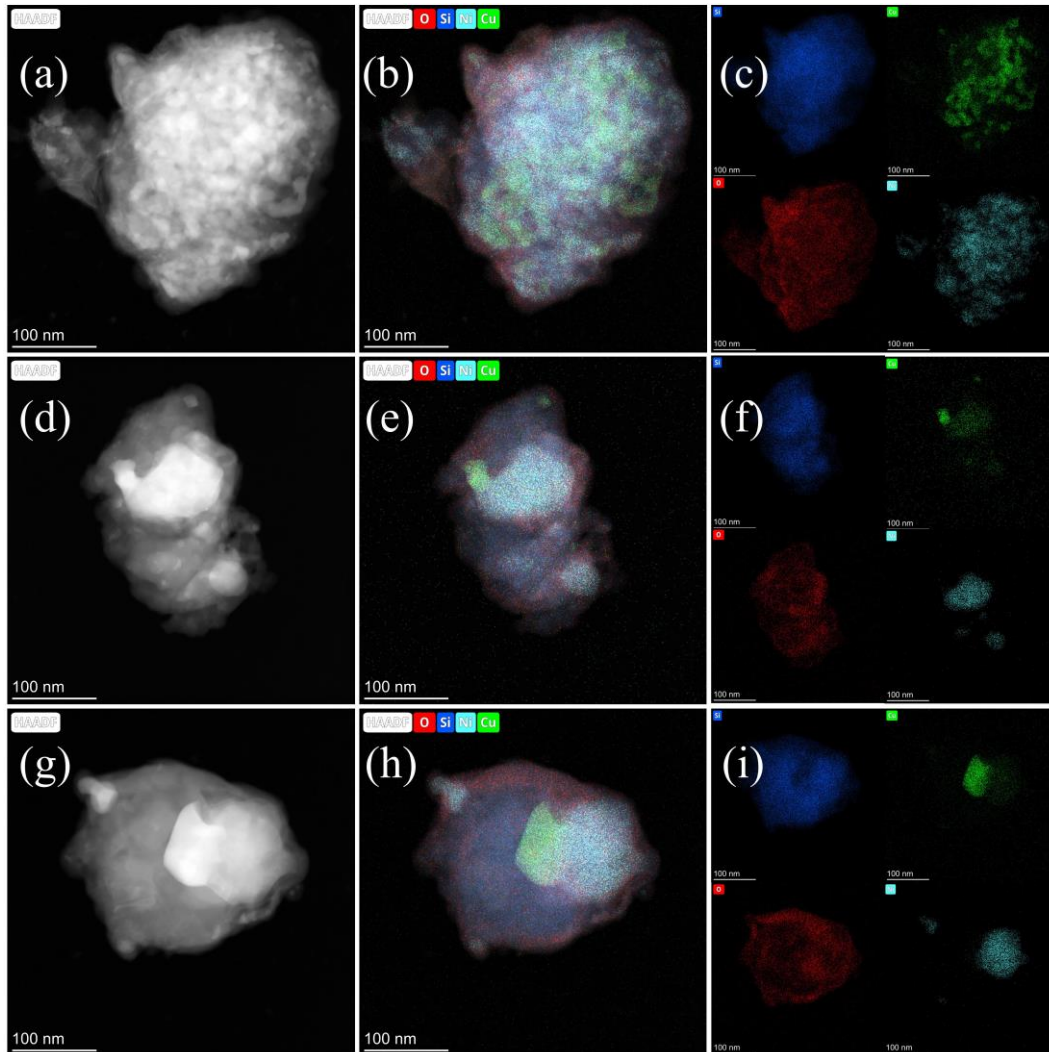
We assume the improved capacity retention and ACE are mainly the role played by reduced the structural change in Si-CuO-NiO samples due to the formation of NiSi<sub>2</sub> consuming more active Si than Cu<sub>3</sub>Si. In order to estimate, to what extent, the addition of metal oxides could suppress the volume expansion of Si in the samples of Si<sub>90</sub>CuO<sub>10</sub>, Si<sub>76.5</sub>CuO<sub>8.5</sub>NiO<sub>15</sub> and Si<sub>72</sub>CuO<sub>8</sub>NiO<sub>20</sub>, the following equation presented elsewhere is employed [12]:

$$\xi = (k * \rho_{\text{alloy}} * c_{\text{alloy}}) / F * 100\%$$

where  $\xi$  is the volume expansion of the Si-based composite anodes in percentage, k is

the molar volume of lithium in active materials (here is 8.9 mL/mol [12]),  $\rho_{\text{alloy}}$  is the true density of the unlithiated Si-based composites in g/mL,  $c_{\text{alloy}}$  is the lithiation specific capacity the Si-based alloy anodes in Ah/g (considering the contribution of SEI and lithium silicates formation to the 1<sup>st</sup> lithiation capacity, here we used the second lithiation capacity) and  $F$  is Faraday's number ( $\approx 26.802$  Ah/mol). Considering the obvious negative influence of excessive CuO on the cycle performance,  $\text{Si}_{76.5}\text{CuO}_{23.5}$  is excluded from the calculation. The true densities and 2<sup>nd</sup> lithiation capacities for the chosen samples are measured and shown in Figure 7(a). According to the aforementioned equation, Figure 7(b) presents the calculated volume expansions (in blue columns) of three different samples. Generally, the samples with NiO addition exhibit less volume expansions (148% for 15% NiO and 133% for 20% NiO), as compared to  $\text{Si}_{90}\text{CuO}_{10}$  with 199%. The alleviated volume changes of  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  are beneficial to lessen crack formation and exposure of fresh Si surface, thus inhibiting secondary SEI and/or continues breakdown of electrolyte [4-6]. At the same time, relatively mild volume change is also helpful to keep the good electrical contact between the active material and conductive matrix (the current collector and/or conductive carbon) for long-term cycling [2]. Moreover, the volumetric capacity of three samples were also calculated using the obtained data of  $c_{\text{alloy}}$ ,  $\rho_{\text{alloy}}$  and  $\delta$  [49] summarized in Figure 7(b) with red columns. It can be found that different from the gravimetric specific capacity, there is a much smaller reduction on the volumetric specific capacity for  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$ . In a real application, the improved energy density for a full cell with limited space accommodating electrode materials is easier to be achieved via using high volumetric capacity Si-based alloy as anodes [12]. At the same time, over 1700 Ah · L<sup>-1</sup> of the volumetric lithiation capacity for  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$  and

$\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  is considerably attractive compared with graphite of only  $719 \text{ Ah}\cdot\text{L}^{-1}$  [2]. Considering the cost, we did not continue to increase the mass of NiO and the ratio of CuO to NiO in the composites is expected to be optimized in the further work.



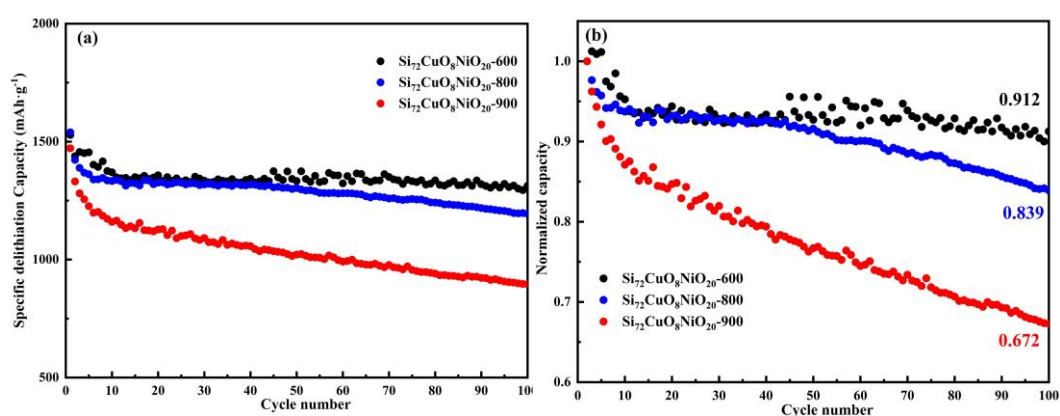
**Figure 8.** BF images ((a), (e) and (i)), STEM images ((b), (f) and (j)), element substitution overlaps ((c), (g) and (k)) and element maps ((d), (h) and (l)) of  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-600}$ ,  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-800}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-900}$ . Si map (dark blue color), O map (red color), Cu map (green color) and Ni map (light blue color).

Lastly, we chose  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  to test the thermal stability due to the best comprehensive performance in this study. Generally, the annealing temperature of coating a carbon layer depends on the types of carbon sources and coating methods with a wide temperature range, for example, changing from  $400 \text{ }^\circ\text{C}$  to  $900 \text{ }^\circ\text{C}$  [9, 47, 48, 50-53]. Because there will be an obvious grain growth for Si-based anodes since

600 °C [54], it is chosen as an initial sintering temperature followed by 800 °C and 900 °C with 3 hours. The XRD patterns of sintered samples are shown in Figure S2(a). It can be seen that all diffraction peaks of sintered samples become sharper indicating the improvement of the crystallinity and the grain size. The peaks at 44.5° and 44.9° related to Cu<sub>3</sub>Si become more recognizable and separated distinctively. We calculated the grain size of Cu<sub>3</sub>Si using the Scherrer equation for the three sintered samples with an increase from ~ 37 nm to ~ 45 nm (seen in Figure S2 (b)). Besides, the peaks assigned to Si oxides still cannot be found in the Figure S2 (a) implying the stable amorphous structure for Si oxides even going through the high-temperature annealing process (no more than 900 °C). This property of amorphous Si oxides is thought to be helpful to maintain the cycle stability [22]. TEM and STEM were conducted to characterize the change of microstructure and element distribution in the sintered Si<sub>72</sub>CuO<sub>8</sub>NiO<sub>20</sub>. Figure S3 shows the BF images and the HRTEM images of the chosen regions. The microstructure of Si<sub>72</sub>CuO<sub>8</sub>NiO<sub>20</sub>-600 is very similar with the one of Si<sub>76.5</sub>CuO<sub>8.5</sub>NiO<sub>15</sub> consisting of uniformly distributed nano-crystallites and amorphous regions. However, it has a noticeable transformation of the microstructure for Si<sub>72</sub>CuO<sub>8</sub>NiO<sub>20</sub>-800 and Si<sub>72</sub>CuO<sub>8</sub>NiO<sub>20</sub>-900, where the distribution of metal silicides starts to agglomerate and the rich-Cu<sub>3</sub>Si or rich-NiSi<sub>2</sub> regions appear. This phenomenon is further confirmed by STEM results (seen in Figure 8). Overall, the state of element distribution in Si<sub>72</sub>CuO<sub>8</sub>NiO<sub>20</sub>-600 still maintains good dispersion without apparent agglomeration. When the annealing temperature is up to 800 °C and 900 °C, the distribution of Cu and Ni elements become more centralized corresponding to the rich-Cu<sub>3</sub>Si or rich-NiSi<sub>2</sub> regions in Figure S3. Such evolution of element distribution in Si bulk is not what we expected, which is predicted to influence the electrochemical behaviors and performance.

The  $dQ/dV$  curves of the sintered samples and corresponding voltage-capacity curves are shown in Figure S4. There is no obvious difference in  $dQ/dV$  curves and voltage-capacity curves between  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-600}$ . However, the shape of these curves for  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-800}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-900}$  become closer to the ones of pristine Si due to the higher crystallinity. The peak at  $\sim 0.43$  V representing  $\text{cr-Li}_{3.75}\text{Si}$  delithiation appears in the first  $dQ/dV$  curves of  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-800}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-900}$  but with the exception of  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-600}$ . It may be because the formation of rich- $\text{Cu}_3\text{Si}$  or rich- $\text{NiSi}_2$  regions decreases the contact areas between Si grains and metal silicides causing inadequate compressive stress to suppress  $\text{cr-Li}_{3.75}\text{Si}$  generation during the lithiation. Then, we calculated the capacity percentage derived from  $\text{cr-Li}_{3.75}\text{Si}$  delithiation during the first cycle for Si,  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$ ,  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-600}$ ,  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-800}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-900}$  via the method provided by the literature [43] (the result and detailed description about the calculation are shown in Figure S5). Obviously, such percentage for  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-600}$  is in a close level with  $\sim 3$  %, whereas it has a significant increase for  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-800}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-900}$  with  $\sim 35$  % but still less than pristine Si with the percentage over 60 %. This confirms again that the introduction of CuO and NiO can effectively suppress the formation of  $\text{cr-Li}_{3.75}\text{Si}$  but the effect can be influenced by the distribution state of the metal elements or silicides in the Si bulk. The 100-cycle performance of sintered samples are provided by Figure 9 and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-600}$  performs the highest capacity retention with  $\sim 91.2$  % even more than the one ( $\sim 86.9$  %) in  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$ . It is speculated by the improved crystallinity of metal silicides in  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-600}$  providing better electrical conductivity during the cycling [38] or the more sufficient reaction between Si and metal oxides via the sintering treatment. The value for

$\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-800}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-900}$  have a different degree of decline. Especially, the cycle performance for  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-900}$  become very worse with the capacity retention of only  $\sim 67.2\%$ . We ascribe the results to the following reasons: 1) The generation of more  $\text{cr-Li}_{3.75}\text{Si}$  in the initial stage may accelerate the fragmentation of the Si bulk and the crack formation on the surface of the electrode leading to the capacity loss [41]; The ball-milled precursors cannot withstand the high-temperature annealing treatment of  $900\text{ }^\circ\text{C}$ , where the formed metal silicide clusters reduce the limitation to the growth of the Si grains. The larger grain size of Si is usually considered not conducive to maintain a good cycle stability [14, 15]; 3) Such clusters may impose uneven compressive or tensile stress to Si bulk during the lithiation (expanded) or delithiation (contracted) process. Accordingly, it is more likely to cause the structural break to the Si bulk with the mechanical failure, poor electrical contact, unstable SEI and increased impedance resistance [5, 6]. Therefore, we expect a post carbon coating treatment with the annealing temperature no more than  $800\text{ }^\circ\text{C}$  may obtain an improved cycle performance for the ball-milled  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20}$  precursor.



**Figure 9.** (a) Specific delithiation capacity vs. cycle number and normalized delithiation capacity (with respect to the second cycle) vs. cycle number of  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-600}$ ,  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-800}$  and  $\text{Si}_{72}\text{CuO}_8\text{NiO}_{20-900}$ .



## **Conclusions**

In this study, NiO is adopted to modify the Si-CuO alloy anodes in LIBs via a HEBM method. The XRD, XPS and TEM results reveal the obtained Si-CuO-NiO samples mainly consists of nanocrystalline Si, doped metal silicides and amorphous Si oxides and there is a uniform distribution of each element in  $\text{Si}_{76.5}\text{CuO}_{8.5}\text{NiO}_{15}$ . The electrochemical analysis indicate Si-CuO-NiO samples do not show remarkable differences in the reaction mechanisms, as compared to the Si-CuO samples. The formation of  $\text{cr-Li}_{3.75}\text{Si}$  in the lithiation process is effectively suppressed in both systems. However, a higher CuO addition (23.5%) is observed to severely deteriorate the cycle performance of the Si-based anode limiting the improvement of the cycle stability. Using NiO to replace a part of CuO is suggested to be effective in mitigating this issue, giving an enhanced cycle performance with less volume change and higher coulombic efficiency. In addition, the testing results of the thermal stability manifests the ball-milled Si-CuO-NiO precursors are more suitable to be coated a carbon layer under the annealing temperature no more than 800 °C.

## **Conflicts of interest**

There are no conflicts to declare.

## **Acknowledgments**

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