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<th>Citation</th>
<th>Bucci, Giovanna et al. “Modeling of Internal Mechanical Failure of All-Solid-State Batteries During Electrochemical Cycling, and Implications for Battery Design.” Journal of Materials Chemistry A 5, 36 (August 2017): 19422–19430 © 2017 The Royal Society of Chemistry</th>
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<tr>
<td>As Published</td>
<td><a href="http://dx.doi.org/10.1039/C7TA03199H">http://dx.doi.org/10.1039/C7TA03199H</a></td>
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<tr>
<td>Publisher</td>
<td>Royal Society of Chemistry (RSC)</td>
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<tr>
<td>Version</td>
<td>Original manuscript</td>
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<tr>
<td>Accessed</td>
<td>Wed Mar 13 08:03:57 EDT 2019</td>
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<tr>
<td>Citable Link</td>
<td><a href="http://hdl.handle.net/1721.1/118458">http://hdl.handle.net/1721.1/118458</a></td>
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Modeling of internal mechanical failure of all-solid-state batteries during electrochemical cycling, and implications for battery design

Giovanna Bucci, Tushar Swamy, Yet-Ming Chiang, W. Craig Carter

Abstract

This is the first quantitative analysis of mechanical reliability of all-solid-state batteries. Mechanical degradation of the solid electrolyte (SE) is caused by intercalation-induced expansion of the electrode particles, within the constrains of a dense microstructure. A coupled electro-chemo-mechanical model was implemented to quantify the material properties that cause a SE to fracture. The treatment of microstructural details is essential to the understanding of stress-localization phenomena and fracture. A cohesive zone model is employed to simulate the evolution of damage. In the numerical tests, fracture is prevented when electrode-particle’s expansion is lower than 7.5% (typical for most Li-intercalating compounds) and the solid-electrolyte’s fracture energy higher than $G_c = 4$ J m$^{-2}$. Perhaps counter-intuitively, the analyses show that compliant solid electrolytes (with Young’s modulus in the order of $E_{SE} = 15$ GPa) are more prone to micro-cracking. This result, captured by our non-linear kinematics model, contradicts the speculation that sulfide SEs are more suitable for the design of bulk-type batteries than oxide SEs. Mechanical degradation is linked to the battery power-density. Fracture in solid Li-ion conductors represents a barrier for Li transport, and accelerates the decay of rate performance.

1. Introduction

Li-ion batteries that use solid electrolyte materials (SEs) in place of traditional liquid electrolytes could achieve high energy density while avoiding safety issues surrounding liquid electrolyte flammability. Solid electrolytes with conductivity approaching that of liquid electrolyte have recently been discovered [1–7]. Despite fast growing interest in all-solid-state batteries (ASSBs), many challenges remain in both manufacturing and reliability of the technology.

In ASSBs, the solid-electrolyte is responsible for binding the active material and establishing conductive paths for Li ions. However, the formation of micro-cracks within the solid electrolyte is expected to reduce its effective ionic conductivity. Additionally, low porosity solid-state systems are expected to be more prone to mechanical degradation if not designed to accommodate intercalation-induced deformations. As fracture degrades the microstructure, paths for lithium diffusion become more tortuous and the battery power-density decreases. Microscale defects and inhomogeneities in battery microstructures would interfere with Li transport and accelerate the decay of battery performance. Furthermore, at sufficiently high current densities, micro-cracks may provide a pathway for Li dendrite growth, eventually causing the cell to short [8].

We employ a fully coupled electro-chemo-mechanical model to investigate fracture mechanisms in composite solid-state electrodes. Treatment of microstructural details and local variability [9] enables the study of stress localization caused by particle misalignment and non-smooth features. A cohesive zone model (CZM) is employed to simulate the evolution of damage [10]. The detrimental effect of fracture on Li-ion flux is also taken into account by the CZM. We quantify the conditions under which fracture occurs, caused by the chemical expansion of electrode particles. Fracture is the result of regions of shear and tensile stresses formed during electrochemical cycling.

The role of intercalation-induced stress (also called Vegard’s stress) on the mechanical failure of electrode particles has been previously studied [17–50]. Among these studies, only Bower and Guduru [19] employed a fully coupled chemo-mechanical model to simulate fracture of a simplified electrode microstructure. To our knowledge, ours is the first model to quantitatively assess mechanical reliability of all-solid state batteries, and predict the extension of fracture caused by electrochemical cycling.

The mechanical properties of solid electrolyte materials have not received much attention and very limited experimental chemo-mechanical properties are available. Measurements collected in Table 1 reveal a wide range of values for Young’s modulus. In particular, sulfide SEs tend to be much more compliant than oxide electrolytes. The Young’s modulus of Li$_2$S-P$_2$S$_5$ sulfide solid electrolytes has been estimated to be in the range of 14-25 GPa [14, 15].
Such a low stiffness has been regarded as favorable for the design of bulk-type batteries [51]. However, we show that compliant solid electrolytes (with Young’s modulus in the order of $E_{SE} = 15$ GPa) are more prone to micro-cracking. Solid electrolytes deform by stretching and shearing in response to the particles’ volume change. The nonlinear formulation of the mechanical equilibrium quantifies the difference in deformation and stress patterns associated with varying the SE’s stiffness. A linear model, which would predict that stress scales with Young’s modulus, would not capture the the microstructural effects that we describe below.

We compare the evolution of damage for several values of electrolyte’s fracture energy ($G_f = 0.25 - 4.0$ J m$^{-2}$) and volume expansion of the active material (7.5%, 15% and 30%). A cohesive model postulates that fracture energy is released gradually as the crack opens. The CZM differs from the Griffith model wherein energy is released instantaneously. The gradual release presumes some cohesion between the separating flanks of a crack. Generally, the traction decays with increasing separation until it vanishes at a critical opening displacement. The fracture energy represents the integral of the traction-separation curve and it is treated as a model-parameter. In our analyses, cracking is prevented only in those cases for which the electrolyte’s fracture energy $G_f \geq 4.0$ J m$^{-2}$ and the particles’ total volumetric expansion is $\Delta V \leq 7.5\%$. In all the other cases, the model predicts some extension of mechanical degradation.

Recent studies have analyzed the properties of the interface between solid electrolytes and electrode materials [52, 53]. In particular, Zhu et al. [52] have identified voltage-stability ranges for many SE materials and predicted decomposition products of the interface reaction. The formation of an interface layer is expected to affect lithium transfer kinetics. Thick interface layers may also modify the local mechanical response. However, further studies are needed to characterize the interfacial properties. We believe the assumption of a perfectly coherent and stable interface to be appropriate for the scope of this study.

In the following section we illustrate the model and discuss the results in detail.

2. Modeling of fracture in all-solid-state battery electrodes

**Methods**

In one common design of ASSBs, the positive and negative electrodes are composites of active electrode-particles embedded in a solid-matrix admixture of ionic and electronic conducting materials. Negative electrodes are, in most cases, produced and assembled in the delithiated state. During the first charge, the anode particles tend to expand as they intercalate Li (experimentally measured
Vegard’s strains for many Li-storage compounds are summarized in Tables 1.1 and 1.2 of Woodford’s thesis. A constrained by the surrounding SE matrix, the particles will be in compression. The mechanical stress and degradation caused by swelling of electrode particles is modeled as follows.

A finite element (FE) code was implemented according to the theoretical continuum model described by Bucci et al. A representative microstructural arrangement of a distribution of particle sizes and its FE discretization with linear quadrilateral elements are represented in Fig. 1. The microstructure includes 36 randomly oriented square particles in a region of dimensions 11 µm × 11 µm. The particle’s position and size distribution follow from a centroidal Voronoi tessellation. The average particle size is 1 µm. The area ratio of active material is about 50%–50%–a typical volume ratio for commercial Li-ion batteries is about 50-60%. We consider shapes with sharp corners (the squares chosen here) to be a more realistic representation of particles than circles–see for instance Fig. 6 of Sakuda et al. and 3D image reconstruction of LiCoO2 particles of Harris et al. Flaws and stresses are more likely to accumulate near sharp corners.

At a given time step, the electrochemical-mechanical problem is solved employing a Newton-Raphson iterative algorithm. At each iteration, displacements, Li concentration and diffusion potential are calculated, as the solution to three equations that couple the electro-, chemo-, and mechanical fields. We model the matrix as a homogenized admixture of ionic and electronic conductors. The constitutive behavior for the electrode and the electrolyte material is assumed to be elastically and diffusively isotropic. Materials are assumed to have a linear elastic constitutive behavior. The solid electrolyte material is considered to have zero Vegard’s strain. Input parameters for this problem are summarized in Table 2 (the variables listed appear in the equations discussed in Bucci et al.).

The CZM of fracture is based on an intrinsic history-dependent constitutive behavior. The flux across the interface is irreversibly set to zero at the onset of fracture. The “intrinsic” CZM approach is based on the pre-insertion of cohesive elements along potential crack paths. Therefore, fracture is allowed to propagate along a subset of the electrode particles.
of finite element interfaces. Those interfaces lie along crack patterns that run between particles. The pre-insertion of cohesive elements along potential crack paths restrict the propagation of fracture. An alternative approach, called "extrinsic", is based on the insertion of cohesive elements on the fly, only at the interfaces where the fracture criterion is met. However, this method requires changes in the mesh topology, and it is not suitable for parallel computing. We assume that the placement of the CZ elements in regions of high shear would not differ from the extrinsic approach.

Galvanostatic tests are performed by applying a constant and uniform lithium flux (corresponding to a constant current density) at the separator interface (top edge in Fig. 1). The spatial variability of the current density at the separator depends on specific features of the electrochemical cell, such as electrode thickness and tortuosity. Polarization effects in proximity of the separator could be modeled by treating both sides of the electrochemical cell. A zero flux is assumed on the remaining edges.

For the mechanical problem, zero horizontal displacement Dirichlet boundary conditions are applied on the left and right boundaries. The one-dimensional displacement is considered fully constrained (in the vertical direction) on the top edge by the presence of the SE, and at the bottom edge by packaging or neighbor cells. We expect the volume change of the active material to be accommodated by the deformation of the SE matrix in ASSBs. This is similar to what Harris et al. measured the toughness K
\[\text{s}\] of a fracture toughness corresponds to the fracture energy \(G_f\), given the Young's modulus \(E\) and the Poisson's ratio \(\nu\).

The propagation rate (slope of the curve in stage a) increases with decreasing fracture energy. In all the examples fracture propagates in a stable fashion (rather than sudden failure). A plateau in the curves of Fig. 3 indicates crack-growth saturation. In the cases with lower fracture energy, stage c may be biased by the availability of crack patterns—even if about 10% of the pre-inserted cohesive in-
Figure 2: Evolution of damage in the solid electrolyte material at subsequent states of charge. With increasing Li content, the active material undergoes chemical expansion. As the particles stress-free strain increases, compressive stress develops in most of the microstructure. However, a few regions in proximity of the particles corner are under tensile stress (brown regions in the right contour plots above). This tension grows large enough to initiate fracture in the solid electrolyte matrix. This phenomenon is captured in the simulation by the cohesive elements. Cracks (marked with black lines) propagate from corner to corner, cutting off diffusion paths for Li within the electrolyte.

Figure 3: The extension of micro-cracks within the solid electrolyte material has been computed by a mesoscale finite element model. The curves represent five cases of SE fracture energies in the range $G_c = 0.25 - 4.0 \text{ J m}^{-2}$. The propagation rate (slope of the curve in stage b) increases with decreasing fracture energy.
	erfaces remain unfractured. The pre-insertion of cohesive elements in specified locations is a possible shortcoming of this model. As shown in Fig. 3, solid electrolytes with fracture energy up to 4 J m$^{-2}$ are predicted to fracture when electrode particles undergo 30% of intercalation-induced swelling.

We explore the dependence of the predicted damage on the electrolyte elastic properties. We consider electrolytes with Young’s moduli $E_{SE} = 25$ GPa and $E_{SE} = 50$ GPa and $E_{SE} = 150$ GPa in addition to the baseline case ($E_{SE} = 15$ GPa). The Young’s modulus $E_{SE} = 150$ GPa is representative of a garnet solid electrolyte material (see Table 1). The results in Fig. 4 illustrate the inverse relationship between the velocity of crack propagation and the electrolyte’s stiffness. A more compliant solid electrolyte tends to deform more by stretching and shearing in response to the particles’ volume change. Regions of tensile-stress form in the SE matrix where fracture is promoted. An electrolyte with stiffness closer to that of the active material (here the Young’s modulus of the electrode material is set to $E_{AM} = 100$ GPa) tends to develop higher compressive stress, but undergoes lower tension. If the problem is considered from a linear elasticity perspective, these results may seem counter-intuitive. However in the non-linear formulation, the large displacements give rise to tensile and shear stresses, particularly large in the case of compliant SEs.

In order to identify conditions that prevent mechanical degradation, we consider active materials with lower volume change associated with changes in Li stoichiometry. Furthermore, we raised the solid electrolytes fracture energy up to $G_c = 4.0 \text{ J m}^{-2}$. The model predicts that fracture is suppressed, for active materials with 7.5% Vegard’s expansion and solid electrolytes with the fracture energy $G_c = 4.0 \text{ J m}^{-2}$ and Young’s modulus $E_{SE} = 15$ GPa.
Thus, mechanical damage is predominantly dependent on SE fracture properties, as most Li-storage compounds have Vegard’s expansion below 7.5% \[55, 56\].

Results from several tests are collected in Fig. 5, where we observe the overlapping of two groups of curves. These curves are marked with \(a\) and \(b\) in Fig. 5 and represent the tests with SE fracture energy \(G_c = 1.0 \text{ J m}^{-2}\) and \(G_c = 0.25 \text{ J m}^{-2}\). The results can be explained by referring to the system’s energy balance. As the particle’s volume increases upon lithiation, the solid electrolyte volume is forced to shrink because the electrode’s volume-change is lower than 7.5% and the solid-electrolyte’s fracture expansion is lower than 7.5%. In the definition of \(G\), the bulking pressure due to the volume change of a poly-crystalline material–Vegard’s parameters can be largely anisotropic, this is for instance the case of graphite.

Here we refer to the aver Intercalation-induced expansion of the active material is constrained in dense solid-state electrodes and electrolytes are prone to mechanical degradation. The particles and SE together create a microstructure—the shape of particles and their proximity within the microstructure determine fracture. Microstructural inhomogeneities, such as particle-to-particle misalignment and particle asperities are sufficient to cause tensile and shear stress in the solid electrolyte matrix.

The simulations predict fracture to propagate in a stable fashion (rather than abruptly). As expected, crack nucleation is delayed in tougher materials. The propagation rate and the final extension of cracks also decrease with increasing electrolyte fracture energy.

Perhaps counter-intuitively, the analyses show that compliant solid electrolytes (with Young’s modulus in the order of \(E_{SE} = 15 \text{ GPa}\)) are more prone to micro-cracking. Shearing and stress arise if the particles have surface asperities or the stress-fields of nearby particles interact. Because compliant SEs allow for large deformations they are more likely to develop localized tension and fracture. A non-linear kinematics model is required to predict this effect which contradicts the speculation that sulfide SEs are more suitable for the design of bulk-type batteries than oxide SEs \[51\].

To our knowledge, this work is the first to investigate mechanical reliability of all-solid state batteries. The results presented have implications for the battery power-density. Fracture in solid Li-ion conductors represents a barrier for Li transport and accelerate the decay of rate performance.

Reliability of ASSBs will depend on the elastic energy associated with intercalation-induced strain, the solid-electrolyte fracture energy and the geometry of the microstructure. Therefore, a simple design rule can be based on the dimensionless parameter \(G = 0.5k_{SE}(3\beta_{AM}A_{AM})^2/(HG_c)\) representing the ratio between elastic and fracture energies. We predict the integrity of elastic-brittle solid-state electrolytes to be preserved when the condition \(G < 1000\) is met.
The interpretation of this outcome is based on the system’s energy balance. As the particles volume increases upon lithiation, the solid electrolyte volume is forced to shrink. Here we assume the volume-averaged deformation of the entire region to be zero. A less restrictive assumption would allow for the electrode’s thickness to evolve with state of charge. In linear elasticity, the hydrostatic pressure developing in both materials scales linearly with their volume change—proportionally to their bulk modulus. It follows that the elastic energy stored in the SE material become four times larger, when the particles’ expansion is doubled. If the fracture energy required to open new cracks is also four times larger, fracture propagates at the same rate.

Figure 5: Various combination Vegard’s parameters of the active material and SE fracture energy are analyzed. The overlap of two sets of results is observed. They correspond to the two cases marked as a

a) 30 % volume change of the active material and SE fracture energy $G_c = 1.0 \text{ J m}^{-2}$

b) 7.5 % volume change of the active material and SE fracture energy $G_c = 0.25 \text{ J m}^{-2}$

The interpretation of this outcome is based on the system’s energy balance. As the particles volume increases upon lithiation, the solid electrolyte volume is forced to shrink. Here we assume the volume-averaged deformation of the entire region to be zero. A less restrictive assumption would allow for the electrode’s thickness to evolve with state of charge. In linear elasticity, the hydrostatic pressure developing in both materials scales linearly with their volume change—proportionally to their bulk modulus. It follows that the elastic energy stored in the SE material become four times larger, when the particles’ expansion is doubled. If the fracture energy required to open new cracks is also four times larger, fracture propagates at the same rate.

Acknowledgments

The work was supported by the grant DE-SC0002633 funded by the U.S. Department of Energy, Office of Science.

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