

# Inverted Region in Electrochemical Reduction of CO<sub>2</sub> Induced by Potential-Dependent Pauli Repulsion

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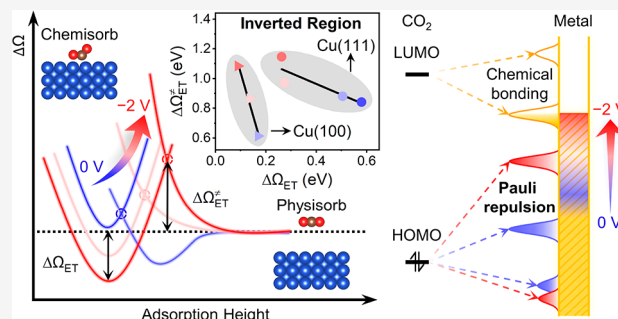


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**ABSTRACT:** Electrochemical CO<sub>2</sub> reduction reaction (eCO<sub>2</sub>RR) is of great significance to energy and environmental engineering, while fundamental questions remain regarding its mechanisms. Herein, we formulate a fundamental understanding of the interplay between the applied potential (*U*) and kinetics of CO<sub>2</sub> activation in eCO<sub>2</sub>RR on Cu surfaces. We find that the nature of the CO<sub>2</sub> activation mechanism in eCO<sub>2</sub>RR varies with *U*, and it is the sequential electron–proton transfer (SEPT) mechanism dominant at the working *U* but switched to the concerted proton–electron transfer (CPET) mechanism at highly negative *U*. We then identify that the barrier of the electron-transfer step in the SEPT mechanism exhibits an inverted region as *U* decreases, which originates from the rapidly rising Pauli repulsion in the physisorption of CO<sub>2</sub> with decreasing *U*. We further demonstrate catalyst designs that effectively suppress the adverse effect of Pauli repulsion. This fundamental understanding may be general for the electrochemical reduction reactions of closed-shell molecules.

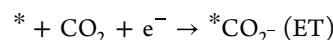


## INTRODUCTION

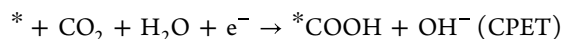
Electrochemical CO<sub>2</sub> reduction reaction (eCO<sub>2</sub>RR) powered by renewable energy resources has been envisioned as a promising route to a sustainable and carbon-neutral future.<sup>1,2</sup> To date, Cu-metal-based electrocatalytic systems are still among the best performing for eCO<sub>2</sub>RR with a wide spectrum of parameters to tune,<sup>3–10</sup> yet they require further optimization of catalytic performance toward industrial-scale practical applications.<sup>11–13</sup> Therefore, it is of fundamental importance for the rational design of optimal eCO<sub>2</sub>RR catalysts to elucidate the atomistic mechanisms of eCO<sub>2</sub>RR on Cu-metal-based electrocatalysts, which, however, remains a grand challenge with a variety of contributing factors to elucidate.<sup>14–16</sup>

At the very first step of eCO<sub>2</sub>RR, i.e., the CO<sub>2</sub> activation, there are exquisite intricacies in its mechanism.<sup>17–19</sup> First, it is demanding to directly activate the inert CO<sub>2</sub> molecule, which is thus coupled with the electron transfer to facilitate the activation to produce the chemisorbed bent CO<sub>2</sub> with a negative charge.<sup>20,21</sup> This leads to two distinctive types of mechanisms for the CO<sub>2</sub> activation in eCO<sub>2</sub>RR on Cu:

- One type starts with the electron-transfer (ET) step to activate CO<sub>2</sub> followed by the proton-transfer (PT) step to produce the adsorbed carboxyl (\*COOH), and this is the sequential electron–proton transfer (SEPT) mechanism as follows.



- The other combines the ET and PT steps into a single elementary step with a concerted proton–electron transfer (CPET) that activates CO<sub>2</sub> directly to \*COOH, and this is the CPET mechanism as follows.



Note that \* represents the active site, and we consider here the neutral condition commonly implemented in eCO<sub>2</sub>RR where the solvent H<sub>2</sub>O molecule serves as the proton source. Also, there can be variations of these two mechanisms, in which the ET step consumes only a partial charge ( $\delta\text{e}^-$ ) to produce \*CO<sub>2</sub><sup>δ−</sup>, and the PT step complements the remaining charge of  $(1 - \delta)\text{e}^-$  to form \*COOH with a partial CPET character. Although there have been accumulating studies that shed light on identifying the type of mechanism for the CO<sub>2</sub> activation in eCO<sub>2</sub>RR on Cu,<sup>15,22–24</sup> it is not elucidated yet.

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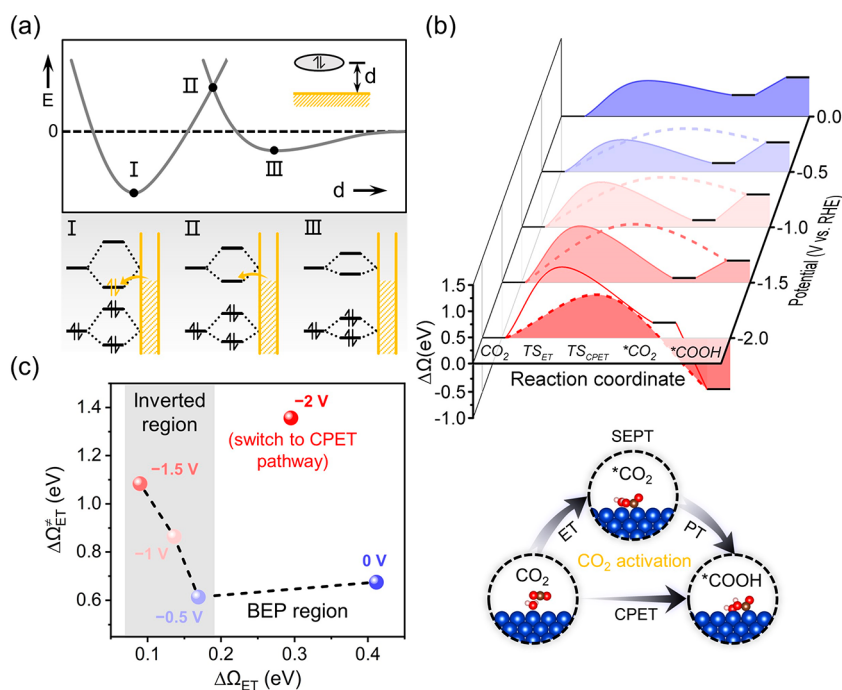


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**Figure 1.** CO<sub>2</sub> activation in eCO<sub>2</sub>RR on Cu(100). (a) Schematic illustration of transition from physisorption to chemisorption of a closed-shell molecule approaching a metallic surface, which results in a barrier. (b) Grand free energy profiles of CO<sub>2</sub> activation in eCO<sub>2</sub>RR on Cu(100) at  $U = 0$  V,  $-0.5$  V,  $-1$  V,  $-1.5$  V,  $-2$  V (RHE scale at pH = 7) through the SEPT and CPET mechanisms illustrated at the bottom. (c) Correlation between the grand free energy barrier of the ET step ( $\Delta\Omega_{ET}^\ddagger$ ) and the ET reaction free energy ( $\Delta\Omega_{ET}$ ) on Cu(100), which shows a BEP region from 0 V to  $-0.5$  V but a sharply inverted region from  $-0.5$  V to  $-1.5$  V.

A key complication is that, since it is coupled with ET, the CO<sub>2</sub> activation mechanism in eCO<sub>2</sub>RR is explicitly dependent on the applied potential ( $U$ ), and such dependence of its kinetics, particularly the barrier determined by the transition state (TS), is of fundamental interest. In general, a more negative  $U$  renders a more negative reaction free energy for the ET or CPET step by the contribution of the  $eU$  term, and according to the Brønsted–Evans–Polanyi (BEP) relation that is commonly assumed in heterogeneous catalysis,<sup>25–27</sup> this leads to a lower activation barrier. In the context of electrochemistry, this relation translates to the symmetry factor, which characterizes the fractional charge transfer in the TS and determines the linear dependence of the kinetic barrier on  $U$ .<sup>28,29</sup> However, this universal linear relationship may be distorted by the intricate interactions within the electrochemical interfacial region, including the varying responses of relevant species to the charged electrode surface under different  $U$ .<sup>30–32</sup>

An even more intriguing question is about the presence of an inverted region predicted by the Marcus theory for both outer and inner sphere ET reactions.<sup>28,33</sup> In the inverted region, the barrier goes higher as the ET reaction energy decreases, and this is in direct contrast to the BEP relation. Nevertheless, on the metallic electrode that has a wide-spreading density of states (DOS) around the Fermi level, the Marcus–Gerischer theory predicts that the inverted region can be ruled out by the continuously available DOS at relevant energy intervals.<sup>34</sup> Therefore, it is plausible to assume the BEP relation for elementary steps of electrochemical reactions on metallic electrodes.

Herein, we employ the grand canonical density functional theory (GC-DFT) method combined with the implicit electrolyte model to explicitly investigate the interplay between

the applied potential and the kinetics of CO<sub>2</sub> activation in eCO<sub>2</sub>RR on Cu(100) and Cu(111), which serve as ideal model systems for formulating a fundamental understanding that is key to the rational design of optimal catalyst and is thus of practical significance. We first show that the nature of the CO<sub>2</sub> activation mechanism in eCO<sub>2</sub>RR varies with  $U$ ; that is, it is dominated by the SEPT mechanism at the common working  $U$  while switched to the CPET mechanism at highly negative  $U$ . More strikingly, we then identify inverted regions for the barrier of the ET step in the SEPT mechanism, in direct contradiction with the BEP relation. Thus, the decreasing  $U$  raises the barrier for CO<sub>2</sub> activation instead of instilling the thermodynamic driving force into the kinetics. We further elucidate that the inverted region for the barrier, which is determined by the crossing between physisorption and chemisorption potential energy curves, arises from the rapid rising of Pauli repulsion in the physisorption potential energy curve as  $U$  decreases. Consequently, we discover designs of electrocatalysts that can effectively diminish the adverse effect of  $U$ -dependent Pauli repulsion on the kinetics of CO<sub>2</sub> activation in eCO<sub>2</sub>RR.

## COMPUTATIONAL DETAILS

To properly describe the van der Waals interactions in the physisorption of CO<sub>2</sub> that is the starting point of CO<sub>2</sub> activation, we first benchmarked a series of DFT exchange–correlation functionals including PBE,<sup>35</sup> PBE-D3,<sup>36</sup> RPBE,<sup>37</sup> RPBE-D3,<sup>36,37</sup> VDW-DF2,<sup>38–41</sup> and BEEF-VDW.<sup>42</sup> Based on the benchmark results listed in Table S1, we chose the PBE-D3 functional, which renders the best agreement with the experimental data for the adsorption energies of CO<sub>2</sub> on Cu surfaces.

All the geometry optimizations and TS searches were performed at explicitly constant electrochemical potentials ( $\mu_e$ ) using the GC-DFT method, together with the charge-asymmetric nonlocally determined local-electric (CANDLE) electrolyte model implemented in JDFTx to describe the electrochemical double layer in a computationally efficient way.<sup>43,44</sup> The implicit CANDLE electrolyte model includes both the solvation effects and the responses of the electrolyte species (cations and anions) to the charged electrode, and the GC-DFT method provides the electron source for charging the electrode at the specified potential. This renders proper distributions of ionic charges in the electrolyte model to mimic the electrochemical double layers at varying potentials. Besides, the implicit CANDLE model can accurately describe the hydrogen bonding and solvation of bare ions in the aqueous electrolyte.<sup>43</sup>

Additionally, we included the interfacial H<sub>2</sub>O molecule as the proton source at the neutral condition. Thus, we do not need to use the computational hydrogen electrode (CHE) model to introduce the proton and electron sources.<sup>45</sup> This hybrid combination of implicit electrolyte model and explicit inclusion of relevant solvent molecule has been employed to investigate the eCO<sub>2</sub>RR on Cu<sup>46,47</sup> and the oxygen evolution reaction (OER) on (Ni, Fe)OOH,<sup>48</sup> rendering theoretical predictions that match well with the experimental results. The TSs were located at constant potential with the climbing image nudged elastic band (CINEB) method<sup>49,50</sup> implemented in the Atomic Simulation Environment (ASE).<sup>51</sup> We also performed the constrained optimizations at constant potential to obtain the adsorption potential energy curves by scanning the distances between (linear or bent) CO<sub>2</sub> and the Cu surfaces with adaptive step sizes (0.5–2 Å), while we used a much finer scanning step size of 0.01 Å to locate the transition states.

The zero-point energy (ZPE) and free energy corrections including enthalpic and entropic contributions at room temperature (298.15 K) were calculated with the ideal gas approximation and the harmonic approximation for the vibrational modes, and unphysically low-frequency modes were reset to a threshold value of 60 cm<sup>−1</sup>, which corresponds to the lowest peak frequency (the acoustic translational mode of the six-membered rings) in water bulk.<sup>52,53</sup> More computational details can be found in the Supporting Information (SI).

## ■ RESULTS AND DISCUSSION

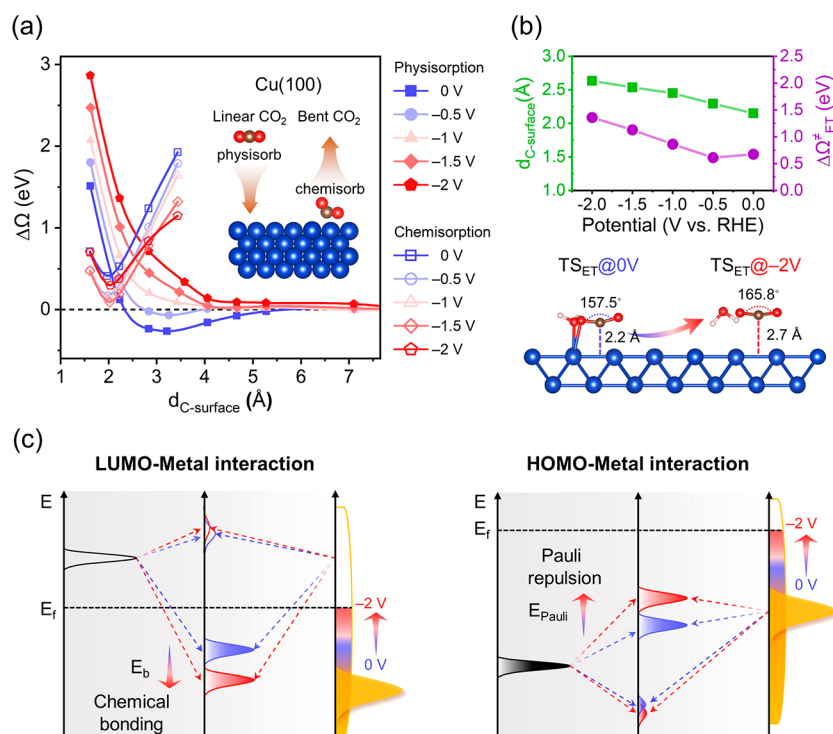
The CO<sub>2</sub> activation involves the transition from physisorption to chemisorption, which can pose a significant barrier for a closed-shell molecule approaching a metallic surface, and this barrier arises from the crossing of potential energy curves (PECs) for the two states of molecule adsorbed on a surface, i.e., the physisorbed and chemisorbed states, as schematically illustrated in Figure 1a.<sup>54,55</sup> In a simplified picture with only frontier orbitals of the molecule shown in Figure 1a, the repulsive part of the physisorption curve stems from the Pauli repulsion between the highest occupied molecular orbital (HOMO) and the DOS below the Fermi level, while the chemisorption in a reduction scenario does not occur until the lowest unoccupied molecular orbital (LUMO) has sufficiently strong interactions with the empty DOS that render the bonding orbital lower than the Fermi level to accept electrons from the metal.<sup>54</sup> Thus, there is electron transfer between the molecule and surface associated with the transition from physisorption to chemisorption, and this picture can naturally incorporate the coupled ET into the CO<sub>2</sub> activation in

eCO<sub>2</sub>RR, where the physisorbed and chemisorbed states are sharply distinguished by the linear and bent configurations of CO<sub>2</sub>. Therefore, we investigate the grand free energy profiles of CO<sub>2</sub> activation in eCO<sub>2</sub>RR on Cu surfaces under varying  $U$ , including the key TSs and associated barriers that explicitly take  $U$  into account. Note that  $U$  is referenced to the reversible hydrogen electrode (RHE) at the neutral condition (pH = 7).

Figure 1b and Figure S1 present the  $U$ -dependent grand free energy profiles of CO<sub>2</sub> activation to form the key \*COOH intermediate on Cu(100) and Cu(111), respectively. We considered both the SEPT and CPET mechanisms, as illustrated at the bottom of Figure 1b. Note that in both mechanisms the interfacial H<sub>2</sub>O molecule gradually changes its orientation and distance with respect to the electrode in response to the varying  $U$  (Figure S13), as extensively studied in previous reports,<sup>32,56–58</sup> and the final hydroxyl species is identified as the adsorbed OH<sup>−</sup> (Table S4). In the common working range of  $U > -1.5$  V, either the grand free energy ( $\Omega$ ) of \*COOH or the barrier of the CPET step is higher than the barrier of the ET step on both Cu(100) and Cu(111), and thus the SEPT mechanism kinetically dominates over the CPET mechanism. When  $U$  decreases to  $-1.5$  V, the barrier of the CPET step becomes comparable to that of the ET step on both Cu(100) and Cu(111) (Table S2), and at the highly negative  $U$  of  $-2$  V, there occurs the drastic change in which the barrier of the CPET step becomes much lower than that of the ET step on both Cu(100) and Cu(111), so the CPET mechanism takes over as the dominant mechanism. Therefore, this evidently demonstrates that the type of mechanism for the CO<sub>2</sub> activation in eCO<sub>2</sub>RR varies with  $U$ , and it is dominated by the SEPT mechanism at the common working  $U$  while switched to the CPET mechanism at highly negative  $U$ .

More strikingly, we identify the inverted region in the common working range of  $U$  for the ET step in the dominant SEPT mechanism. Figure 1c and Figure S2 plot the grand free energy barrier of the ET step ( $\Delta\Omega_{ET}^\ddagger$ ) against the ET reaction free energy ( $\Delta\Omega_{ET}$ ) at varying  $U$  on Cu(100) and Cu(111), respectively. Figure 1c demonstrates that on Cu(100), in the region of  $U$  from 0 V to  $-0.5$  V,  $\Delta\Omega_{ET}^\ddagger$  and  $\Delta\Omega_{ET}$  show a weakly positive linear relationship that conforms to the BEP relation, but in the region of  $U$  from  $-0.5$  V to  $-1.5$  V,  $\Delta\Omega_{ET}^\ddagger$  increases rapidly as  $\Delta\Omega_{ET}$  decreases with  $U$ , and this is exactly an inverted region that breaks the BEP relation. On Cu(111), the inverted region spans even wider from 0 V to  $-1.5$  V (Figure S2). At a highly negative  $U$  of  $-2$  V, both  $\Delta\Omega_{ET}^\ddagger$  and  $\Delta\Omega_{ET}$  are elevated, restoring a BEP relation, but  $\Delta\Omega_{ET}^\ddagger$  becomes too high and the kinetics favors a dominant CPET mechanism as discussed above (Figures 1b and S1). This arises from the instability of \*CO<sub>2</sub><sup>δ−</sup> at highly negative  $U$  owing to the strong electrostatic repulsion between \*CO<sub>2</sub><sup>δ−</sup> and the highly negatively charged Cu surface, which can be greatly diminished by the direct formation of \*COOH. Note that this strong electrostatic repulsion also leads to the failure of d-band theory in describing the trend of CO<sub>2</sub> chemisorption (Figure S11). Nevertheless, the inverted regions we find on both Cu surfaces are striking, because it indicates that a more negative  $U$ , normally a stronger thermodynamic driving force for the ET reduction reaction, exerts a drastically opposite effect on its barrier and kinetics, and this also breaks the common assumption that a catalyst that can chemisorb CO<sub>2</sub> more strongly should deliver a better kinetics. Since the ET step involves the crossing between the PECs of physisorbed and





**Figure 2.** Understanding the origin of the inverted region in the  $\text{CO}_2$  activation in  $\text{eCO}_2\text{RR}$ . (a) The potential energy curves of physisorption (linear  $\text{CO}_2$ ) and chemisorption (bent  $\text{CO}_2$ ) on  $\text{Cu}(100)$  at varying  $U$ . (b) The adsorption height of  $\text{CO}_2$  ( $d_{\text{C-surface}}$ ) in the TS and the corresponding  $\Delta\Omega_{\text{ET}}^\ddagger$  on  $\text{Cu}(100)$  as functions of  $U$  from 0 V to -2 V, and the TS structures at 0 V and -2 V are illustrated below. (c) Schematic illustrations of LUMO-metal and HOMO-metal interactions between the  $\text{CO}_2$  molecule and Cu surface.

chemisorbed states, we further examine whether the inverted region follows from what Marcus theory depicts.

We adopt the fixed configurations of linear and bent  $\text{CO}_2$  taken from corresponding local minima to calculate the  $U$ -dependent PECs of physisorption and chemisorption, respectively, as illustrated in Figure 2a for  $\text{Cu}(100)$  and Figure S3a for  $\text{Cu}(111)$ . At each  $U$ , the two PECs cross at the repulsive part of the physisorption PEC that is dictated by Pauli repulsion, and the crossing determines the barrier for the transition. Figure 2a shows that the chemisorption PEC demonstrates a subtle dependence on  $U$ ; that is, it drops first as  $U$  decreases from 0 V to -1.5 V while starts to rise as  $U$  further decreases to -2 V. This may arise from the competition between the chemical bonding and electrostatic repulsion between  $^*\text{CO}_2^{\delta-}$  and the negatively charged Cu surface. More significantly, the physisorption PEC rises rapidly and monotonically as  $U$  decreases, and this dictates the crossing of two PECs, i.e., the barrier for the transition, to rise rapidly as  $U$  decreases. Thus, the inverted region originates from the dominant  $U$ -dependence of the physisorption PEC and does not follow from the picture by Marcus theory.

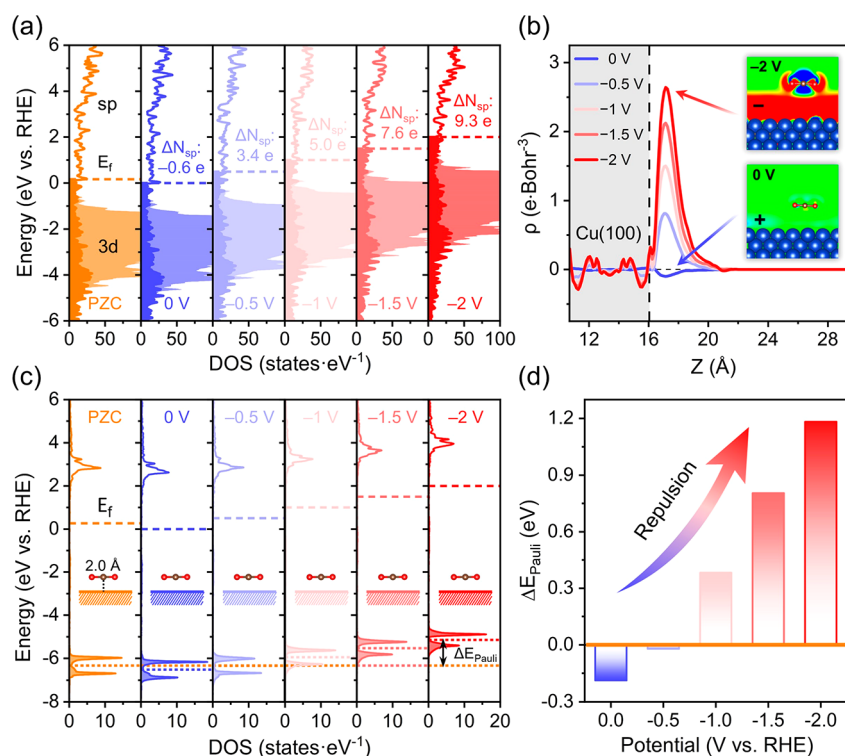
The dominance of physisorption PEC over the barrier is consistent with and also evidenced by the  $U$ -dependence of the TS structure of the ET step in the SEPT mechanism (Figure 1b). Figure 2b shows that the  $\text{CO}_2$  moiety in this TS becomes further away from the Cu surface as  $U$  decreases and resembles more closely the physisorbed state, i.e., a linear  $\text{CO}_2$ .

Based on the understanding of transition from physisorption to chemisorption shown in Figure 1a, we formulate a qualitative understanding of the  $U$ -dependences of the two types of PECs, as illustrated in Figure 2c. When a  $\text{CO}_2$  molecule approaches the Cu surface, its doubly degenerate LUMOs and HOMOs (split by the presence of surface)

interact strongly with the DOSs of the Cu metal that are energetically close to the LUMOs and HOMOs, respectively, based on the second-order perturbation theory, and this leads to two types of interactions that dictate the chemisorption and physisorption PECs, respectively.

The LUMOs of  $\text{CO}_2$  are above the Fermi level and thus interact mainly with the empty DOS of the Cu surface. This type of interaction (labeled as LUMO-metal) leads to bonding orbitals, and their occupations depend on their positions in energy relative to the Fermi level, which are dependent on  $U$ . When  $U$  decreases, the DOS fills up and the surface becomes more negatively charged, which result in spatially more outward extended band orbitals of surface to increase the overlaps with the LUMOs of  $\text{CO}_2$ , thus lowering the bonding orbitals. Therefore, the LUMO-metal interactions contribute to the  $U$ -dependence of chemical bonding in the chemisorption PEC, although it is complicated by the electrostatic repulsion between  $^*\text{CO}_2^{\delta-}$  and the negatively charged surface as discussed before.

The HOMOs of  $\text{CO}_2$ , on the other hand, are below the Fermi level and thus interact mainly with the occupied DOS of the Cu surface. This type of interaction (labeled as HOMO-metal) leads to both fully occupied bonding and antibonding orbitals in this scenario, which results in the net Pauli repulsion. This Pauli repulsion is strongly dependent on  $U$ : as  $U$  decreases, the resulting spatially more outward extended electron density of the surface increases its overlaps with the HOMOs of  $\text{CO}_2$ , and this elevates the Pauli repulsion rapidly. Note that the  $\text{CO}_2$  molecule has high ionization energy, so the antibonding orbitals from the HOMO-metal interactions are unlikely to be pushed above the Fermi level to lose electrons, and hence the net Pauli repulsion remains. Therefore, this HOMO-metal interaction dictates the  $U$ -dependence of Pauli



**Figure 3.** Quantitative analysis of the  $U$ -dependent Pauli repulsion in the physisorption PEC of CO<sub>2</sub> on Cu(100). (a) The partial DOSs (pDOSs) of the Cu(100) surface at  $U = \text{PZC}$ , 0 V, -0.5 V, -1 V, -1.5 V, and -2 V.  $\Delta N_{\text{sp}}$  is the change in the number of electrons in the sp pDOS with respect to the PZC case, and  $\Delta N_{\text{sp}}$  is very close to the corresponding changes in the total number of electrons (Table S5), so the electrons fill up mostly the sp pDOS of the Cu surface as  $U$  decreases. Note that all the energies are aligned by reference to the electrochemical potential of RHE. (b) The interfacial net charge densities on the Cu(100) surface relative to the PZC condition from 0 V to -2 V (the dashed line marks the surface). (c) The pDOSs of HOMOs and LUMOs of the linear CO<sub>2</sub> molecule fixed to be 2.0 Å above the Cu(100) surface, and the change of Pauli repulsion ( $\Delta E_{\text{Pauli}}$ ) is defined as the increase of the average position of HOMOs of CO<sub>2</sub> with respect to that at PZC. (d)  $\Delta E_{\text{Pauli}}$  defined in (c) as a function of  $U$  from 0 V to -2 V.

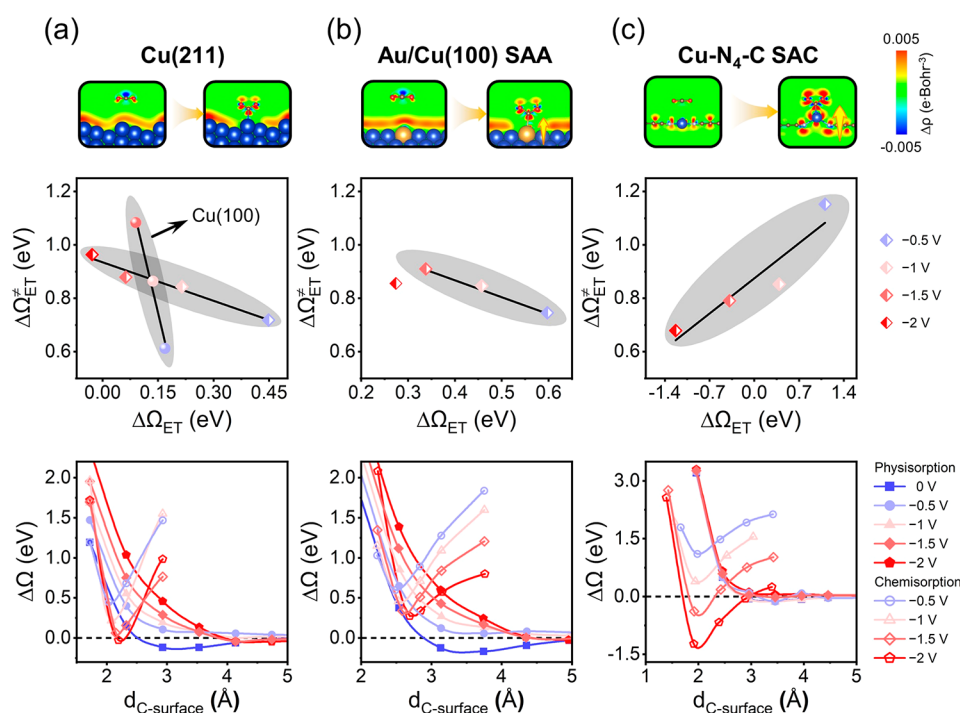
repulsion in the physisorption PEC, which determines the  $U$ -dependence of the barrier and results in the inverted region. In order to confirm this understanding quantitatively, we further investigate the  $U$ -dependences of electronic structures.

Figure 3a shows the partial DOSs (pDOSs) of the Cu(100) surface at varying  $U$  from the potential of zero charge (PZC) to -2 V, and as  $U$  decreases, the sp pDOS of the Cu surface fills up significantly. This results in the drastically accumulating electron density at the Cu surface that extends more outward, as demonstrated in Figure 3b. Consequently, we investigate the pDOS of CO<sub>2</sub> with a frozen linear configuration and a fixed distance of 2 Å to the Cu(100) surface under varying  $U$ , as shown in Figure 3c. The frozen linear configuration rules out the chemical bonding between CO<sub>2</sub> and the Cu surface, i.e., the LUMO–metal interactions, and hence this scenario demonstrates mainly the HOMO–metal interactions that give rise to the Pauli repulsion and dominate the physisorption PEC. As  $U$  decreases, the electron density of the Cu surface extends more outward, and the HOMO–metal interactions are thus strengthened by the increasing overlaps. This leads to the continual rise of the HOMOs of CO<sub>2</sub> (split by the presence of surface) in energy, which can quantitatively characterize the increase in the Pauli repulsion ( $\Delta E_{\text{Pauli}}$ ). As shown in Figure 3c, we define and calculate  $\Delta E_{\text{Pauli}}$  as the increase of the average position of HOMOs of CO<sub>2</sub> with respect to that at PZC, and Figure 3d demonstrates that  $\Delta E_{\text{Pauli}}$  indeed grows significantly and monotonically with the decreasing  $U$ . Similar

results and quantitative characterization of  $\Delta E_{\text{Pauli}}$  can be found on Cu(111), as shown in Figure S4.

Therefore, we conclude that the inverted region in the CO<sub>2</sub> activation of eCO<sub>2</sub>RR on Cu arises from the negative  $U$ -dependence of the Pauli repulsion in the physisorption PEC, which results from the HOMO–metal interactions rapidly strengthened by the accumulating electron density at the electrode surface. The presence of the inverted region jeopardizes the kinetics and thus the catalytic performance, and this in fact presents a strategy for designing better catalysts, i.e., to identify the catalyst designs that can suppress the Pauli repulsion and thus the inverted region. Accordingly, if the Pauli repulsion can be effectively lowered, as already explored in homogeneous catalysis,<sup>59</sup> the kinetics of CO<sub>2</sub> activation in eCO<sub>2</sub>RR may be significantly promoted. We note that previous experimental studies have demonstrated that the Cu-based electrocatalysts rich in undercoordinated Cu sites deliver improved catalytic activities.<sup>60–63</sup> Thus, we further investigate the CO<sub>2</sub> activation on three distinctive types of Cu-based electrocatalysts with different coordination environments to explore for possible catalyst designs that can alleviate the effect of Pauli repulsion on the barrier of CO<sub>2</sub> activation in eCO<sub>2</sub>RR.

The first type is the Cu(211) surface that has a step composed of less coordinated Cu sites, compared with Cu(100) and Cu(111), as shown in Figure 4a. The CO<sub>2</sub> activation occurs at the step of Cu(211), while the interfacial electron density on Cu(211) displays a wavy distribution in



**Figure 4.** Designs of Cu-based electrocatalysts that can alleviate the effect of Pauli repulsion on the barrier of CO<sub>2</sub> activation in eCO<sub>2</sub>RR. (a) The Cu(211) step surface, (b) the Au/Cu(100) single-atom alloy (SAA), and (c) the Cu single-atom catalyst (SAC) coordinated by four N atoms in the N-doped graphene (Cu-N<sub>4</sub>-C). For each case, the top shows the interfacial net charge densities upon physisorption and chemisorption at  $U = -2$  V relative to the PZC condition, the middle shows the correlation between  $\Delta\Omega_{ET}^{\#}$  and  $\Delta\Omega_{ET}$  at varying  $U$ , and the bottom shows the physisorption and chemisorption PECs at varying  $U$ . Note that, at 0 V, the CO<sub>2</sub> molecule cannot form stable chemisorption on Au/Cu(100) SAA and Cu-N<sub>4</sub>-C SAC, so there are no well-defined  $\Delta\Omega_{ET}$  and  $\Delta\Omega_{ET}^{\#}$ .

accordance with the rugged surface, and this leads to decreased overlaps for the HOMO–metal interactions, thus lowering the Pauli repulsion. Indeed, although an inverted region still exists for  $\Delta\Omega_{ET}^{\#}$  on Cu(211), it has a much weaker dependence on  $U$  than that on Cu(100), i.e.,  $\Delta\Omega_{ET}^{\#}$  increases less significantly as  $U$  decreases. Figure 4a also shows the  $U$ -dependent physisorption PEC of CO<sub>2</sub> on Cu(211) that rises less rapidly as  $U$  decreases, and so does its crossing with the chemisorption PEC, which is consistent with the trend in the barrier. Therefore, increasing the surface roughness is an effective design for lowering the Pauli repulsion in eCO<sub>2</sub>RR.

The second type is the Au/Cu(100) single-atom alloy (SAA) that has a single-atom Au site with flexible coordination to the Cu matrix, as shown in Figure 4b. The CO<sub>2</sub> activation occurs at the single-atom Au site, and its flexible coordination enables it to be pulled out of the surface to form the TS and the chemisorption (see also Figure S8). This flexibility of active site effectively lowers the Pauli repulsion, because it renders the CO<sub>2</sub> moiety in the TS and chemisorption further away from the Cu surface. Thus, the inverted region for  $\Delta\Omega_{ET}^{\#}$  on the Au/Cu(100) SAA has a weak dependence on  $U$ , similar to that on the Cu(211) step surface. The  $U$ -dependent crossings between the physisorption and chemisorption PECs shift to larger adsorption heights of CO<sub>2</sub>, which embodies the flexibility of the active site to go out of the surface. Therefore, increasing the coordination flexibility of the active sites is another effective design for lowering the Pauli repulsion in eCO<sub>2</sub>RR.

The third type is the Cu single-atom catalyst (SAC) coordinated by four N atoms in the N-doped graphene (Cu-N<sub>4</sub>-C), as shown in Figure 4c. The graphene substrate in this Cu SAC shows much less significant interfacial electron

accumulation (Figure S12), and this leads to the dramatic result that the physisorption PEC has little dependence on  $U$ ; that is, the Pauli repulsion barely increases as  $U$  decreases, as shown at the bottom of Figure 4c. In addition, the Cu active site in this Cu SAC is also flexible and thus can go out of the catalyst surface to adopt the chemisorption of CO<sub>2</sub>. The two factors combined completely eliminates the inverted region, and  $\Delta\Omega_{ET}^{\#}$  on Cu-N<sub>4</sub>-C just follows a normal BEP relation. Therefore, the design of SAC on a substrate with less charging is effective to greatly suppress the Pauli repulsion. We note that recent studies have shown that the flexibility of the active site in SAC can lead to the potential-driven reconstruction of the active site in electrochemical reduction reactions such as eCO<sub>2</sub>RR and ORR,<sup>64–66</sup> so there may be a subtle balance between the stability and the activity of SACs to consider.

Therefore, the fundamental understanding we formulated is likely to be generally applicable, and we can derive rational design strategies based on it. Besides the design of electrocatalysts, we note that the cations in the electrolyte may play a significant role in the kinetics of eCO<sub>2</sub>RR through forming specific complexes with the chemisorbed CO<sub>2</sub>.<sup>19,67</sup> This might be another effective strategy to alleviate the effect of Pauli repulsion on the kinetics of eCO<sub>2</sub>RR, but we only include here the effect of cations in the implicit electrolyte model, neglecting their explicit coordination to CO<sub>2</sub>, and we will investigate it explicitly in the future study. We also note that, in the kinetically unfavored CPET mechanism, there is also a small inverted region from  $-1$  V to  $-1.5$  V on Cu(100) (Table S2), with a much weaker dependence on  $U$  than that for the ET step in the SEPT mechanism. This implies that the Pauli repulsion also affects the kinetics of the CPET step, but to a very limited degree, and it may be alleviated by the proton of



the water molecule, which is likely to play a similar role to that of cations.

Moreover, it is noteworthy that the kinetics of hydrogen evolution reaction (HER), which is the major competing reaction to  $\text{eCO}_2\text{RR}$ , can also be strongly influenced by the repulsion effects from the negatively charged electrodes at negative potentials. This arises from the fact that the reactant of HER is the interfacial water molecule in a wide pH range<sup>68–71</sup> or the bicarbonate anion via the bicarbonate reduction pathway in bicarbonate buffer,<sup>72</sup> and either the water molecule as a dipole or the bicarbonate anion experiences direct electrostatic repulsion from the negatively charged electrode, which consequently affects the subsequent transition state and thus the barrier.<sup>68–72</sup> In addition, the cations were found to promote the kinetics of HER possibly by lowering the electrostatic repulsion.<sup>67,73–75</sup> Nevertheless, there is an intrinsic difference between the scenarios in HER and  $\text{eCO}_2\text{RR}$ . The  $\text{CO}_2$  molecule is nonpolar and neutral, so the repulsion it experiences from the negatively charged electrode is a quantum effect by the Pauli exclusion principle that results in the Pauli repulsion between fully occupied orbitals. The water molecule as the reactant of HER is also a closed-shell molecule, which should experience the Pauli repulsion in addition to the electrostatic repulsion, as embodied by the reorientation of the water molecule under the influence of negative potentials (Figure S13), which we will investigate in the future study.

## CONCLUSION

To summarize, we have formulated a fundamental understanding of the interplay between the applied potential and the kinetics of  $\text{CO}_2$  activation in  $\text{eCO}_2\text{RR}$  on Cu. First, we found that the nature of the  $\text{CO}_2$  activation mechanism in  $\text{eCO}_2\text{RR}$  varies with  $U$ , and it is dominated by the SEPT mechanism at the common working  $U$  while switched to the CPET mechanism at highly negative  $U$ . Next, we identified inverted regions for  $\Delta\Omega_{\text{ET}}^\ddagger$  in the SEPT mechanism of  $\text{CO}_2$  activation that directly contradict the BEP relation, and the decreasing  $U$  does not instill the thermodynamic driving force into the kinetics but rather raises  $\Delta\Omega_{\text{ET}}^\ddagger$  so high at highly negative  $U$  that the  $\text{CO}_2$  activation has to switch to the CPET mechanism. We further demonstrated that the inverted region originates from the rapid rising of Pauli repulsion in the physisorption PEC as  $U$  decreases, and this is a result from the fact that the repulsive HOMO–metal interactions between  $\text{CO}_2$  and Cu surfaces are greatly strengthened by the accumulating electron density at the electrode surface.

Finally, we showed that there are effective designs of electrocatalysts to suppress the adverse effect of Pauli repulsion on the kinetics of  $\text{CO}_2$  activation in  $\text{eCO}_2\text{RR}$ , which include the increasing of the catalyst surface roughness, the introduction of flexible coordination of the active site, and the SAC on a substrate with less charging. Thus, the fundamental understanding formulated in this work provides novel insights into the rational design of highly efficient electrocatalysts for  $\text{eCO}_2\text{RR}$ , and moreover, it is likely to be generally applicable to the electrochemical reduction reactions of other closed-shell molecules including  $\text{H}_2\text{O}$ ,  $\text{CO}$ , and  $\text{N}_2$ .

## ASSOCIATED CONTENT

### Supporting Information

The Supporting Information is available free of charge at <https://pubs.acs.org/doi/10.1021/jacs.3c02447>.

Additional computational details and supplemental tables (S1–S5) and figures (S1–S13) as noted in the text (PDF)

Coordinates of all structures (ZIP)

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## Notes

The authors declare no competing financial interest.

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