

1 High spatial resolution ToF-SIMS imaging and image  
2 analysis strategies to monitor and quantify early phase  
3 separation in amorphous solid dispersions

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16 **Abstract**

Amorphous solid dispersions (ASDs) are formulations with enhanced drug solubility and dissolution rate compared to their crystalline counterparts, however, they can be inherently thermodynamically unstable. This can lead to amorphous phase separation and drug re-crystallisation, phenomena that are typically faster and more dominant at the product's surfaces. This study investigates the use of high-resolution time of flight-secondary ion mass spectrometry (ToF-SIMS) imaging as a surface analysis technique combined with image-analysis for the early detection, monitoring and quantification of surface amorphous phase separation in ASDs. Its capabilities are demonstrated for two pharmaceutically relevant ASD systems with distinct re-crystallisation behaviours, prepared using hot melt extrusion (HME) followed by pelletisation or grinding: (1) paracetamol-hydroxypropyl methylcellulose (PCM-HPMC) pellets with drug loadings of 10–50% w/w and (2) indomethacin-polyvinylpyrrolidone (IND-PVP) ground material with drug loadings of 20–85% w/w. PCM-HPMC

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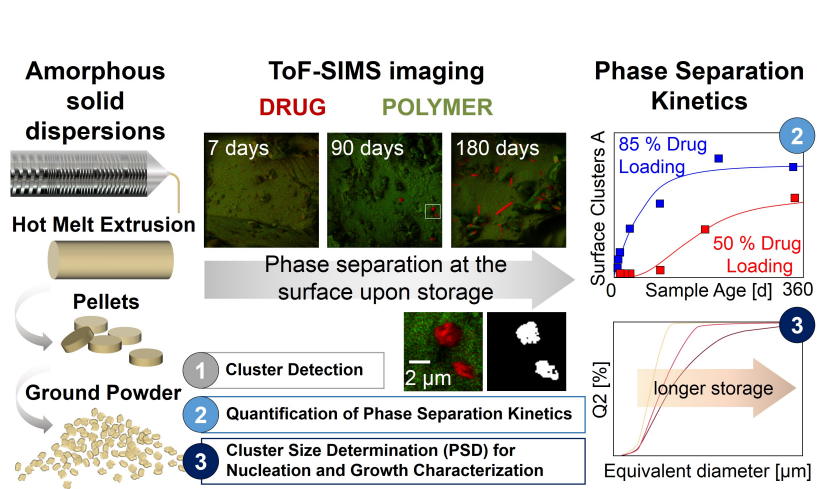
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pellets showed intense phase separation, reaching 100% surface coverage within 1-5 months. In direct comparison, IND-PVP HME ground material was more stable with only a moderate formation of isolated IND-rich clusters. Image analysis allowed the reliable detection and quantification of local drug-rich clusters. An Avrami model was applied to determine and compare phase separation kinetics. The combination of chemical sensitivity and high spatial resolution afforded by SIMS was crucial to enable the study of early phase separation and re-crystallisation at the surface. Compared with traditional methods used to detect crystalline material, such as XRPD, we show that ToF-SIMS enabled detection of surface physical instability already at early stages of drug cluster formation in the first days of storage.

<sup>17</sup> *Keywords:* chemical imaging, time of flight-secondary ion mass spectrometry  
<sup>18</sup> (ToF-SIMS), pharmaceutical solid products, amorphous solid dispersion  
<sup>19</sup> (ASD), surface physical stability, amorphous phase separation,  
<sup>20</sup> surface-enhanced re-crystallisation, crystal nucleation, crystal growth, hot melt  
<sup>21</sup> extrusion (HME)

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Graphical abstract.

## 22 1. Introduction

23 Due to their advantageous characteristics, amorphous solids have widespread  
24 technical applications in different industries, Amorphous solids have unique  
25 properties which are utilised for a wide range of applications, including energy  
26 storage [1, 2, 3], semiconductors [4, 5], structural materials [6, 7, 8] and phar-  
27 maceuticals [9, 10]. In the pharmaceutical industry, poorly water-soluble active  
28 pharmaceutical ingredients (APIs) are often rendered amorphous to exploit the  
29 enhanced solubility and dissolution rate associated with the amorphous state  
30 [9, 10]. The increased drug solubility [11, 12] significantly enhances the APIs  
31 bioavailability after oral administration in those specific cases where the drug  
32 presents high permeability, and thus solubility is the limiting step hindering  
33 absorption [13] (Class II of the Biopharmaceutical Classification System, BCS  
34 [14]). APIs can be rendered amorphous either as a single component or, more  
35 frequently, with a carrier polymer as multi-component amorphous solid dis-  
36 persions (ASDs) [15]. The selection of a suitable polymer, API/polymer ratio  
37 and manufacturing conditions are crucial to obtain kinetically-stabilised ASD  
38 systems.

39 The main disadvantage of the amorphous state is its inherent thermodynamic  
40 instability, and hence its propensity to convert into an energetically favourable  
41 crystalline form. Despite being kinetically stabilised, for ASDs this can lead  
42 to amorphous phase separation (APS) or drug re-crystallisation phenomena,  
43 hampering long-term stability of this type of formulation [16, 17]. Previous  
44 studies conducted on amorphous pharmaceutical solids have highlighted that  
45 re-crystallisation phenomena can occur orders of magnitude faster at the surface  
46 of amorphous compounds than in the bulk [18, 19]. Specific examples of surface-  
47 enhanced APS/re-crystallisation have been reported also for ASDs [20, 21]. The  
48 assessment of solid phase stability and re-crystallisation kinetics of ASDs is

49 crucial to ensure the maintenance of product efficacy and quality throughout  
50 its shelf life. Hence, there is an opportunity for an early detection of phase  
51 separation effects through an investigation focused on the sample surface, which  
52 could consequentially also save time and costs during formulation development  
53 [22].

54 Commonly used techniques to evaluate physical stability of ASDs are differ-  
55 ential scanning calorimetry (DSC) and X-ray powder diffraction (XRPD) [15,  
56 23, 24, 25]. Their sensitivity is insufficient to detect nanocrystalline domains  
57 [26] or crystalline content below 1-5% [27, 15, 28]. Solid-state nuclear magnetic  
58 resonance (ssNMR) can be utilized to quantify <1% crystallinity [29]; however,  
59 data acquisition is time-consuming and, equally to DSC and XRPD, ssNMR  
60 does not provide spatially resolved information, which makes these techniques  
61 thus unable to differentiate between surface and bulk crystallinity. To date,  
62 only a few analytical techniques have been used with the express aim of as-  
63 sessing surface stability of ASDs, namely confocal Raman microscopy (CRM)  
64 [30], scanning electron microscopy (SEM) used together with attenuated total  
65 reflectance-Fourier transform infrared spectroscopy (ATR-FTIR) [31] or AFM  
66 combined with infrared spectroscopy (AFM-IR) and thermal analysis [32, 33].  
67 These analytical techniques, however, have limitations towards their ability to  
68 provide local chemical information for identification or their achievable spa-  
69 tial resolution, and drawbacks associated with destructive sample preparation  
70 and/or analysis cycles, method-specific sample requirements (e.g. thin films  
71 with homogeneous thickness and surfaces without significant topographical fea-  
72 tures), long data acquisition and/or acquisition limited to a small sample area.  
73 This entails the use of multiple complementary techniques for a conclusive char-  
74 acterisation of surface physical instability.

75 Time of flight-secondary ion mass spectrometry (ToF-SIMS) is a high spatial

76 resolution ( $< 200$  nm [34, 35]) chemical imaging technique which has high sur-  
77 face specificity (information depth of 3-5 nm using a 25 kV  $\text{Bi}_3^+$  [36]). ToF-SIMS  
78 imaging is significantly less time consuming than Raman mapping and AFM-IR  
79 working at comparable resolution and image size. ToF-SIMS requires no or very  
80 limited sample preparation, enabling the analysis of native surfaces of finished  
81 pharmaceutical solid products. For instance, it was used to characterize local  
82 surface composition in spray-dried powders, which provided insights into the  
83 particle formation process during drying [37, 38]. Furthermore, ToF-SIMS has  
84 been employed effectively in the past to characterise local phase separation of  
85 ASDs and its impact on the products' performance, e.g. drug-release behaviour  
86 in electrospun drug delivery systems [39, 40], although not with the aim to  
87 provide kinetic information through a long-term physical stability study. ToF-  
88 SIMS is not *per se* established for the characterisation of the materials' solid  
89 state, however it was demonstrated that ToF-SIMS can be used to successfully  
90 differentiate between amorphous and re-crystallised regions in amorphous mono-  
91 compound material obtained via quench melting, with the support of multivari-  
92 ate analysis (MVA) strategies [41]. The beneficial use of ToF-SIMS imaging  
93 in an industrial context was highlighted in recent research, where ToF-SIMS  
94 and MVA were employed to quantify surface coverage of selected ingredients  
95 on carrier powders for inhalation, providing insights on key-mechanisms of the  
96 blending process and ultimately enabling a control of the product performance  
97 [42, 43].

98 Image processing and analysis (IP&A) is regularly performed in combination  
99 with imaging techniques to assist the interpretation of collected data and to  
100 extract (semi-) quantitative sample information. In the pharmaceutical field,  
101 successful applications of IP&A range from 2D to 3D image data characterisa-  
102 tion of systems such as crystals, particles, capsules and tablets [44, 45, 46, 47].

103 For ToF-SIMS there have been significant improvements in image processing to  
104 translate the raw spectral data from complex multicomponent samples to images  
105 visualising the spatial distribution of individual chemical compounds [48, 42, 43]  
106 or highlighting subtle changes in the spectra related to the material solid state  
107 [41]. The additional use of image analysis methodologies provides a means for  
108 automated, high-throughput and objective evaluation of ToF-SIMS chemical  
109 images, in contrast to manual measurements that are less time-effective, have a  
110 lower throughput and may be subjective and biased.

111 In this study, we assess the use of high spatial resolution ToF-SIMS imaging to  
112 detect and monitor surface amorphous phase separation and re-crystallisation  
113 for two distinct bicomponent ASD systems manufactured through hot melt ex-  
114 trusion (HME). After HME, one system was pelletised and one was ground.  
115 These are two processing steps commonly applied to extruded material in the  
116 pharmaceutical industry [15]. The two compound systems were selected be-  
117 cause of their different surface re-crystallisation behaviours, which enabled the  
118 development of a comprehensive chemical imaging and IP&A work-flow, with  
119 potential applicability to a wider range of ToF-SIMS image data. The de-  
120 veloped and implemented IP&A routine permits the automated extraction of  
121 quantitative information on dimensions, number and surface coverage of API-  
122 rich domains, and hence the ability to study different aspects of the surface  
123 APS/re-crystallisation kinetics for ASD systems over a period of up to one year,  
124 providing crucial insights on the stability of these systems. ToF-SIMS imaging  
125 enables detection of API-rich domains, comprising both phase-separated clus-  
126 ters and already-formed crystals. This provides a significant time advantage  
127 compared to established techniques used to detect solid-state instability which  
128 are instead based on the detection of already-formed crystals (above a certain  
129 threshold of crystallinity content), such as XRPD.

## 130 **2. Materials and Methods**

### 131 *2.1. Chemicals*

132 Pharmaceutical grade paracetamol was sourced from Mallinckrodt Inc. (Raleigh,  
133 USA). Hydroxypropyl methylcellulose grade Affinisol<sup>TM</sup> 15LV was kindly do-  
134 nated by Dow Inc. (The Dow Chemical Company, Michigan, USA). Crystalline  
135  $\gamma$ -*polymorph* indomethacin of purity  $\geq 98.5\%$  and polyvinylpyrrolidone grade  
136 PVP Kollidon<sup>®</sup> 25 were purchased from Sigma-Aldrich (Dorset, UK). Skeletal  
137 structural formulae and repeat units of the chemicals used in the study are  
138 illustrated in Fig. S1.

### 139 *2.2. Hot melt extrusion (HME)*

140 Four powder blends of paracetamol (PCM) and hydroxypropyl methylcellulose  
141 (HPMC), with weight ratios of 10:90 (PCM-C10), 20:80 (PCM-C20), 35:65  
142 (PCM-C35) and 50:50 (PCM-C50) w/w PCM/HPMC, were prepared in a 5L  
143 AgiBlend bin blender (Pharmatech, UK) at set blend speed of 25 rpm and  
144 agitation of 500 rpm for 20 minutes. HME was performed using a Thermo  
145 Scientific<sup>TM</sup> Process 11 Parallel Twin-Screw Extruder (Thermo Scientific, UK)  
146 equipped with co-rotating twin screws and a 1.8 mm diameter round die noz-  
147 zle. Pre-blend binary mixtures were fed with a loss-in-weight gravimetric feeder  
148 (Brabender Technologie, Germany) at a feed rate of 0.1 kg/h for all systems.  
149 The extrusion temperatures were selected as described by Bordos *et al.* [49]  
150 to produce fully amorphous extrudates as characterized using in-line terahertz-  
151 Raman spectroscopy and confirmed through off-line DSC measurements. PCM-  
152 C10, PCM-C20 and PCM-C35 were extruded at 150°C, PCM-C50 at 155°C. For  
153 all systems, the rotating speed of the screws was set to 100 rpm. Once cooled  
154 down, filaments were pelletized with a Thermo Scientific<sup>TM</sup> VariCut Pelletizer  
155 (Thermo Scientific, UK). Pellets with height and diameter of approximately 2



156 mm were mounted exposing the freshly obtained surface on the sample stage for  
157 subsequent SIMS analysis. After analysis, the pellets were stored at room tem-  
158 perature ( $23.0\pm 0.3^\circ\text{C}$ ) in a desiccator until the following stability time-point.  
159 Indomethacin (IND) and polyvinylpyrrolidone (PVP) powder blends were pro-  
160 duced with w/w ratios of 20:80 (IND-C20), 50:50 (IND-C50), 70:30 (IND-C70)  
161 and 85:15 (IND-C85) w/w IND/PVP, using the same conditions as described  
162 for the PCM-HPMC system. A Thermo Scientific<sup>TM</sup> Pharma 16 Twin-Screw  
163 Extruder (Thermo Scientific, UK) was operated at  $175^\circ\text{C}$  and mounted a round  
164 die of 1 mm diameter. The screw speed was 100 rpm and the dwell time was  
165 1.2 minutes. HME material was ground in a controlled relative humidity (RH)  
166 glove bag (Aldrich<sup>®</sup> AtmosBag, Sigma-Aldrich, UK) filled with  $\text{N}_2$ , at 3% RH,  
167 at room temperature and for approximately 4 minutes, until a homogeneous  
168 powder was obtained. Intact extrudate strands and ground material were stored  
169 at room temperature ( $23.0\pm 0.3^\circ\text{C}$ ) and  $32.6\pm 1.7\%$  RH, in sealed glass vials. An  
170 overview of all PCM-HPMC and INDPVP included in this study is provided in  
171 Table S1.

### 172 *2.3. ToF-SIMS high spatial resolution imaging*

173 SIMS reference spectra and high spatial resolution images of the two systems  
174 were acquired using an IONTOF TOF.SIMS 5 instrument (IONTOF GmbH,  
175 Münster, Germany), equipped with a bismuth liquid metal ion gun (LMIG)  
176 and a gridless reflectron time-of-flight mass analyser. All SIMS analyses were  
177 recorded using SurfaceLab software packages (versions 6.7, 6.8 and 7, IONTOF  
178 GmbH, Münster, Germany). Strategies proposed by Lee *et al.* [50] were applied  
179 to reduce topographic field effects and improve the charge compensation on the  
180 insulating samples. Validation optical microscopy images were acquired with a  
181 Leica DM6000 M microscope (Leica Microsystems GmbH, Germany).

182 *2.3.1. PCM-HPMC pellets*

183 An unbunched 30 keV  $\text{Bi}_3^+$  primary ion beam was used to acquire high spatial  
184 resolution secondary ion images on PCM-HPMC pellets (PCM-C10 - PCM-C50)  
185 over a  $500 \mu\text{m} \times 500 \mu\text{m}$  field of view (FoV). The analyses were conducted in  
186 randomly selected locations on the surface of the pellets. For the time-points  
187 following the first, additional images were collected on the same location to  
188 visually assess growth of the API-rich domains. These were excluded from  
189 the quantitative evaluation of surface coverage kinetics to eliminate the risk  
190 of the ToF-SIMS analysis impacting on local kinetics. The primary ion dose  
191 (PID), spatial resolution and pixel width were respectively  $2 \times 10^{11}$  (primary  
192 ions/cm<sup>2</sup>),  $0.55 \mu\text{m}$  and  $0.49 \mu\text{m}$ . Within the  $500 \mu\text{m} \times 500 \mu\text{m}$  FoV, two  
193 additional  $100 \mu\text{m} \times 100 \mu\text{m}$  images were acquired, using an unbunched 60  
194 keV  $\text{Bi}_3^{2+}$  primary ion beam for improved spatial resolution, and delivering a  
195 PID of  $5 \times 10^{11}$  (primary ions/cm<sup>2</sup>). For these images the spatial resolution  
196 and pixel width were  $0.15 \mu\text{m}$  and  $0.099 \mu\text{m}$ , respectively. The mass spectral  
197 information was collected in the positive secondary ion polarity with a  $0.055 \mu\text{s}$   
198 delayed extraction. The mass range was recorded between 0 and 900 Da and  
199 was calibrated using the  $\text{CH}_3^+$ ,  $\text{C}_2\text{H}_3^+$ ,  $\text{C}_3\text{H}_7^+$ ,  $\text{C}_4\text{H}_9^+$ ,  $\text{C}_4\text{H}_9\text{O}^+$  (HPMC) and  
200  $\text{C}_8\text{H}_{10}\text{NO}_2^+$  (PCM,  $[\text{M}+\text{H}]^+$ ) secondary ions, as recommended by Green *et al.*  
201 [51].

202 *2.3.2. IND-PVP ground powder*

203 Samples of the ground material (IND-C20 - IND-C85) were transferred from  
204 the stored powder and fixed on the ToF-SIMS sample holder on the day of  
205 analysis. The characterisation frequency of the ground material was selected  
206 depending on the expected re-crystallisation kinetics, aiming to provide suf-  
207 ficient time-resolution to quantify early APS/re-crystallisation of ASDs with  
208 high drug loadings. Immediately prior to transfer in the instrument air lock,

209 extruded glass samples were broken in order to generate new surfaces, and indi-  
210 vidual pieces were secured on the ToF-SIMS sample holder, exposing the freshly  
211 created surfaces for analysis and limiting their exposure to air to less than 5  
212 minutes. A 60 keV  $\text{Bi}_3^{2+}$  primary ion beam was operated in unbunched mode  
213 to collect high spatial resolution secondary ion images of selected areas on the  
214 surface of the HME material and of the ground particles (spatial resolution <  
215 300 nm, pixel width of 0.12  $\mu\text{m}$ ). Each acquisition was performed over a FoV  
216 of 60  $\mu\text{m} \times 60 \mu\text{m}$ , a value which was close to the particle size (diameter 2D  
217 projection), in order to ensure the fit of single particles in the FoV. The total  
218 PID delivered for each image was approximately  $5 \times 10^{11}$  (primary ions/ $\text{cm}^2$ ).  
219 The analyser extraction delay was set to 0.055  $\mu\text{s}$  to improve mass-resolving  
220 power and to reduce topographic field effects. The mass spectral information  
221 was recorded in the positive secondary ion polarity, in the mass range of 0–900  
222 Da and calibrated using the  $\text{CH}_3^+$ ,  $\text{C}_2\text{H}_3^+$ ,  $\text{C}_3\text{H}_7^+$ ,  $\text{C}_4\text{H}_9^+$ ,  $\text{C}_6\text{H}_{10}\text{NO}^+$  (PVP,  
223  $[\text{M}_{monomer}+\text{H}]^+$ ), and  $\text{C}_{19}\text{H}_{16}\text{ClNO}_4^+$  (IND,  $[\text{M}]^+$ ) fragment ions. The analysis  
224 was repeated on a minimum of 4 particles for each system at each time-point.

#### 225 *2.4. Image processing for the detection and quantification of surface APS/ re-* 226 *crystallisation*

227 SIMS images were used to extract quantitative data, such as dimensions and  
228 number of distinct surface API-rich domains and their overall surface coverage,  
229 in order to evaluate the kinetics of surface APS/re-crystallisation. For this pur-  
230 pose, the SIMS data were exported and further processed using custom scripts  
231 developed in MATLAB 2019 (The MathWorks, Inc. USA). Selected steps of the  
232 SIMS image processing workflow are visualised in Fig. 1.

233 Identification and putative assignment of diagnostic peaks for each compound  
234 enabled reconstruction of API-polymer colour overlay images (Fig. 1 A). SIMS  
235 spectral data were exported to generate greyscale images of the API and the

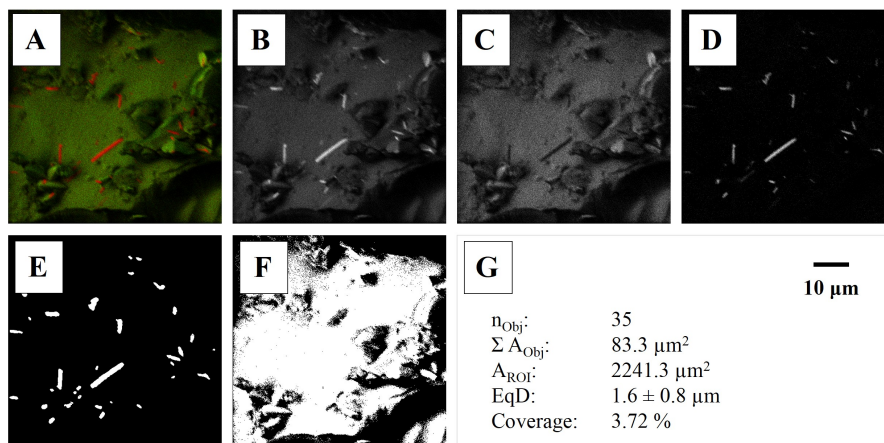


Figure 1: Image processing steps applied to SIMS data for the detection and quantification of API-rich domains related to surface APS/re-crystallisation. (A) Constructed color overlay with (red) API and (green) polymer dominated domains. (B-C) Single component images for API ( $I_{\text{API}}$ ) and polymer ( $I_{\text{Pol}}$ ) with normalised ion counts, (D) image subtraction of  $I_{\text{API}}$  and  $I_{\text{Pol}}$  generating the API-rich domain image ( $I_{\text{API-R}}$ ), (E) binary image after thresholding and noise reduction ( $I_{\text{API-R,BIN}}$ ), (F) total effective area containing intensity information (ROI), (G) results of the object detection method with measured number ( $n_{\text{Obj}}$ ), area ( $\Sigma A_{\text{Obj}}$ ) and equivalent circle area diameter (EqD) of the objects, area of ROI ( $A_{\text{ROI}}$ ) and % drug coverage ( $\Sigma A_{\text{Obj}}/A_{\text{ROI}}$ ).

236 polymer distribution ( $I_{\text{API}}$  and  $I_{\text{Pol}}$ , Fig. 1 B-C). After applying an ion-yield cor-  
 237 rection factor based on the median count in each of the two greyscale images to  
 238 adjust for differences in the count intensities between distinct chemical entities,  
 239 the  $I_{\text{Pol}}$  was subtracted from the  $I_{\text{API}}$ , generating the API-rich domain image  
 240 ( $I_{\text{API-R}}$ , Fig. 1 D). Random noise was reduced by applying an edge-preserving  
 241 median filter and an adaptive low pass Wiener filter within a  $3 \times 3$  and  $11 \times 11$   
 242 pixel kernel, respectively. The  $I_{\text{API-R}}$  was converted to a binary image using  
 243 a fixed threshold (of 0.039 for IND, 0.247 for PCM) to enable the subsequent  
 244 comparison of detected API-rich domains. A cluster size threshold of 10 pixels  
 245 and an opening-by-reconstruction step with a  $2 \times 2$  pixel structuring element  
 246 were applied to remove any potential binary image noise ( $I_{\text{API-R,BIN}}$ , Fig. 1  
 247 E). IP&A parameters for thresholding and noise reduction as part of the cluster

248 detection method were user-validated through a visual comparison of Fig. 1 E  
 249 with the polymer-API overlay image in Fig. 1 A. Due to topographic effects re-  
 250 lated to the roughness of the ground material’s surface, the effectively analysed  
 251 surface area in the FoV containing sufficient intensity information was defined  
 252 as the image region-of-interest (ROI). The ROI in each image was determined  
 253 after analysing the mean local standard deviation ( $\sigma_l$ ) of the pixel intensities in  
 254 the total ion image within a  $5 \times 5$  pixel kernel ( $\text{ROI} = I(x,y) > \sigma_l * 3$ , Fig. 1  
 255 F). Its value ( $A_{\text{ROI}}$  in Fig. 1 G) was used to normalise the area occupied by the  
 256 drug and determine the drug coverage ( $\Sigma A_{\text{Obj}}$  and Coverage in Fig. 1 G). For  
 257 the IND-PVP system, detected API-rich domains were well-defined and sepa-  
 258 rated which allowed the additional quantification of their number ( $n_{\text{Obj}}$ ) and  
 259 size (EqD). For each cluster, the diameter of a circle having equivalent area  
 260 (EqD) was calculated. The EqD values and the API surface coverage area were  
 261 used to generate and track changes in the particle size distributions (PSDs).  
 262 For the PCM-HPMC systems, which presented adjoining drug clusters in the  
 263 SIMS images,  $n_{\text{Obj}}$  and EqD were not determined.

### 264 2.5. Kinetics of surface APS/re-crystallisation

265 The classic Avrami model [52, 53, 54] is frequently used to describe phase tran-  
 266 sition mechanisms such as crystallisation. In this model, the relative crystalline  
 267 fraction ( $\alpha_s(t)$ ) is correlated with the storage time ( $t$ ) according to Equation 1:

$$\alpha_s(t) = 1 - \exp[-k \cdot t^{n_A}] \quad (1)$$

268 where  $k$  is the re-crystallisation rate constant and the Avrami exponent ( $n_A$ )  
 269 is a constant reflecting the nucleation rate and/or the dimensionality of crys-  
 270 tal growth. The exponent  $n_A$  takes on values between 1 and 4 and can be  
 271 interpreted as  $n_A = \text{Dim} + 1$ , where  $\text{Dim}$  represents the dimensionality of  
 272 crystal growth and 1 is the contribution of crystal nucleation. In the present

273 study, Equation 1 was used to quantify kinetics of amorphous phase separation  
274 and re-crystallisation for cases where growth was predominant over nucleation,  
275 and further assuming diffusion controlled crystal growth kinetics of needle and  
276 plate-like structures ( $n_A = 1$ ) [55].

277 The classical Avrami model assumes a constant nucleation rate ( $J_0$ ) for the  
278 phase transition, which, however, does not apply in cases where the available  
279 nucleation sites and the amorphous fraction ( $1 - \alpha_s(t)$ ) decrease significantly  
280 throughout the re-crystallisation process, leading to an over-prediction of phase  
281 transformation rates [56]. Yang *et al.* [56] derived a modified version of the  
282 Avrami model accounting for non-constant nucleation rates (Equation 2) and  
283 proposed that the nucleation rate  $J(t)$  is proportional to the total amorphous  
284 fraction ( $1 - \alpha_s(t)$ ).

$$\alpha_s(t) = 1 - \frac{1}{1 + k \cdot t^{n_A}} \quad (2)$$

285 where the re-crystallisation rate constant ( $k$ ) is related to the nucleation rate  
286 constant ( $J_0$ ) and crystal growth rate constant ( $\beta$ ). For conditions of homoge-  
287 neous nucleation  $n_A$  assumes values of 2 for rod, 3 for plate and 4 for spherical  
288 geometry (with  $Dim$  equal to 1 for mono-dimensional growth in rods,  $Dim = 2$   
289 for bi-dimensional plate growth and  $Dim = 3$  for three-dimensional growth  
290 conditions). In the present study, Equation 2 was applied to calculate the  
291 re-crystallisation rate constants ( $k$ ) considering plate-like crystal growth and  
292 homogeneous nucleation ( $n_A = 3$ ).

### 293 2.6. X-ray powder diffraction (XRPD)

294 For both systems, X-ray powder diffraction (XRPD) data were acquired at  
295 sample-specific time-points during storage to qualitatively evaluate the pres-  
296 ence of crystalline material. XRPD data were acquired on the PCM-HPMC  
297 pelletised, stored amorphous solid dispersions on the day of extrusion and after

298 7 days (PCM-C50), 30 days and 150 days (PCM-C10, PCM-C20, PCM-C35)  
299 of storage, placing the samples in a 28-position plate mounted on a Kapton<sup>®</sup>  
300 polyimide film (7.5  $\mu\text{m}$  thickness). XRPD data were acquired on the IND-PVP  
301 ground, stored amorphous solid dispersions after 1 month, 7 months and 22  
302 months of storage, transferring approximately 5 mg of the powder samples into  
303 a glass capillary.

304 The samples were analysed employing a D8 ADVANCE diffractometer (Bruker  
305 AXS GmbH, Germany). X-rays were generated from a copper source with Jo-  
306 hansson monochromator (Cu  $K\alpha_1$ ,  $\lambda = 1.541\text{\AA}$ , 40 kV  $\times$  50 mA). Scattered  
307 light was collected in the  $2\theta$  range  $4^\circ - 35^\circ$  (step size  $0.017^\circ$ , integration time 2  
308 sec) for the PCM-HPMC and in the  $2\theta$  range  $3^\circ - 40^\circ$  (step size  $0.017^\circ$ , integra-  
309 tion time 10 sec) for IND-PVP. Reference XRPD patterns were exported from  
310 the Cambridge Crystallographic Data Centre (CCDC) database as follows: file  
311 HXACAN01, deposited by Haisa *et al.* [57], for crystalline paracetamol poly-  
312 morphic form I and file INDMET, deposited by Kistenmacher and Marsh [58],  
313 for crystalline indomethacin polymorphic form gamma ( $\gamma - IND$ ).

### 314 3. Results

#### 315 3.1. Surface APS/re-crystallisation on PCM-HPMC pellets

316 For the PCM-HPMC system, all pelletised extrudate samples were transparent  
317 after HME and post-processing indicating the successful manufacturing of ASD  
318 pellet samples. The spatial distribution of PCM and HPMC across the pellets'  
319 surfaces was subsequently studied as part of a ASD stability study selecting  
320 diagnostic ion-peaks with distinctive *mass-to-charge* ratio ( $m/z$ ) assigned to  
321 each component of the formulation. In particular, PCM was identified by its  
322 protonated molecular ion  $\text{C}_8\text{H}_{10}\text{NO}_2^+$  at  $m/z$  152.07 and by the fragments  
323  $\text{C}_6\text{H}_8\text{NO}^+$  ( $m/z$  110.06),  $\text{C}_6\text{H}_7\text{NO}^+$  ( $m/z$  109.05) and  $\text{C}_5\text{H}_6\text{N}^+$  ( $m/z$  80.05),

324 whilst HPMC exhibits the characteristic secondary ions  $C_4H_9O^+$  ( $m/z$  73.07),  
325  $C_3H_7O^+$  ( $m/z$  59.05) and  $C_2H_5O^+$  ( $m/z$  45.03), which were not present in the  
326 reference spectra for PCM. Positive polarity ToF-SIMS spectra of the reference  
327 materials are available in Fig. S2. An extensive list of putative peak assignments  
328 is included in Table S2.

329 Selected ToF-SIMS images from all four investigated drug loadings (PCM-C10,  
330 PCM-C20, PCM-C35 and PCM-C50) are gathered in Fig. 2A. PCM-C10 did not  
331 present any physical changes at the surface related to detectable PCM- HPMC  
332 phase separation within the 150 days of ageing (Fig. 2A, first row), but the sam-  
333 ples contained  $Na^+$  ( $m/z$  22.99) high-intensity regions that can be attributed  
334 to crystalline NaCl (distribution shown in blue). NaCl is a known impurity in  
335 Affinisol<sup>TM</sup> 15LV.  $Na^+$  clusters were not visible in the other PCM-HPMC sys-  
336 tems, which present a lower w/w% concentration of Affinisol<sup>TM</sup> 15LV. However,  
337 APS/re-crystallisation of PCM-rich domains were detected for all higher drug  
338 loadings starting from the first analysed time-points (Fig. 2A, second to fourth  
339 row). From a qualitative comparison of PCM-C20, PCM-C35 and PCM-C50, it  
340 can be noted that at each given time-point the surface coverage increases with  
341 increasing drug loading.

342 The values of surface coverage of PCM-rich domains for each PCM-HPMC sys-  
343 tem over 150 days of storage are plotted in Fig. 2B ( $n_{img} > 3$ ). The two samples  
344 with the highest drug loadings in this study, PCM-C35 and PCM-C50, exhibit  
345 an intense PCM surface APS/re-crystallisation, with a surface coverage of 91%  
346 and 87%, respectively, after approximately 30 days of storage. Furthermore,  
347 PCM-C35 and PCM-C50 show evidence of surface physical instability as early  
348 as 1 day after HME manufacturing (Fig. 2A) which are visible in the form of  
349 distinct micrometre-sized PCM-rich domains. These PCM-rich domains later  
350 grow to larger structures that resemble agglomerates of crystallites, however, lo-



351 cal nucleation of new PCM-rich domains still occurs simultaneously even after 14  
352 days of storage (images provided in Fig. S3 and Fig. S4). The plate-like crystals  
353 forming on PCM-C20 and PCM-C35 correspond to the monoclinic Form I (sta-  
354 ble form). This was observed qualitatively through ToF-SIMS as well as optical  
355 microscopy (images included in Fig. S3) and confirmed by XRPD (Fig. S7).  
356 XRPD data collected on the PCM pellet samples show the presence of crystalline  
357 material as early as 7 days after manufacturing and upon storage for PCM-C50,  
358 whilst PCM-C20 and PCM-C35 continue to exhibit the diffuse halo typical of  
359 amorphous material for up to 5 months of storage (X-ray diffraction patterns  
360 available in Fig. S7). In comparison, ToF-SIMS high spatial resolution imaging  
361 enabled the initial detection of physical instabilities (*i.e.* sub-micron PCM-rich  
362 domains) already after less than 24 hours from HME manufacturing for PCM-  
363 C50 and PCM-C35, and after 3 days of storage for PCM-C20. This suggests  
364 that the total sample crystallinity remains below the XRPD detection limit of 1-  
365 5% w/w within this early time-window [27] with a potential predominant effect  
366 of PCM-rich domain formation on the exposed sample surface.

367 The quantified surface coverage for each individual sample shown in Fig. 2B  
368 was fitted using the classical Avrami model (Equation 1) and its derived ver-  
369 sion accounting for non-constant nucleation rate (Equation 2). PCM-C10 was  
370 excluded from the fitting approach since no PCM-clusters or crystals were de-  
371 tected. PCM-C20 and PCM-C35 are best interpolated by a sigmoidal curve  
372 (Equation 2 with  $n_A = 3$ ), which is composed by an initial onset, a second  
373 phase of significant increase in the coverage, and a final stage during which  
374 the coverage slowly maximises reaching a plateau. The inflection point can  
375 be interpreted as the end of a nucleation-dominated stage and the beginning  
376 of a growth-dominated stage. The onset period can be explained as an induc-  
377 tion phase during which *nuclei* that promote crystallisation are forming. For the

378 PCM-C50 system this onset is not observed and a logarithmic curve (Equation 1  
379 with  $n_A = 1$ ) best describes the data. This indicates that *nuclei* are already  
380 present from the initial time-point and start growing directly. In these condi-  
381 tions, growth becomes dominant and further nucleation contributes less to the  
382 overall increment of the drug coverage. The kinetic constants of the Avrami  
383 model were  $k_{\text{PCM-C20}}$  of  $1.85 \cdot 10^{-5} \text{d}^{-1}$  ( $n=3$ ),  $k_{\text{PCM-C35}}$  of  $4.89 \cdot 10^{-4} \text{d}^{-1}$   
384 ( $n=3$ ) and  $k_{\text{PCM-C50}}$  of  $8.35 \cdot 10^{-2} \text{d}^{-1}$  ( $n=1$ ) for PCM-C20, PCM-C35 and  
385 PCM-C50, respectively. No APS/crystallinity was detected for PCM-C10.

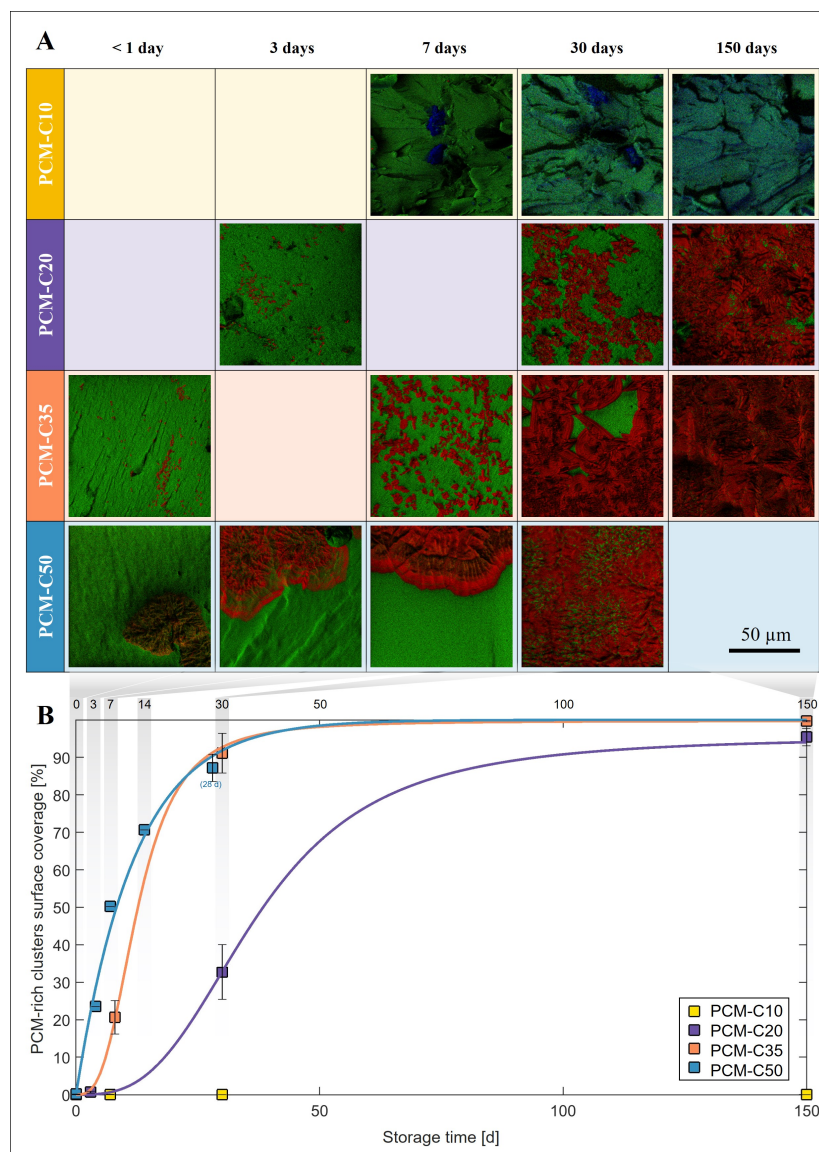


Figure 2: (A) Representative colour-overlay ToF-SIMS images acquired on PCM-HPMC pellets for the systems PCM-C10, PCM-C20, PCM-C35 and PCM-C50 at time-points up to 150 days. PCM (identified by  $C_8H_{10}NO_2^+$ ,  $C_6H_8NO^+$ ,  $C_6H_7NO^+$ ,  $C_5H_6N^+$ ) is displayed in red, HPMC ( $C_4H_9O^+$ ,  $C_3H_7O^+$ ,  $C_2H_5O^+$ ) in green and  $Na^+$  in blue. PCM and HPMC corresponding greyscale images are provided in Fig. S5 and Fig. S6. (B) Quantified PCM surface coverage over the investigated storage time. Error bars represent standard deviation from multiple ToF-SIMS images acquired on individual pellets ( $n_{\text{Img}} > 3$ ). PCM-C10 shows no or low tendency for re-crystallisation.

386 *3.2. Surface APS/re-crystallisation on IND-PVP ground powder*

387 In the case of IND-PVP, the produced filaments of all drug loadings were trans-  
388 parent after extrusion and cooling, visually suggesting the absence of crystalline  
389 content and the production of a homogeneous amorphous dispersion.

390 ToF-SIMS imaging was subsequently used to monitor and assess the APS/re-  
391 crystallisation kinetics on the surface of IND-PVP samples. IND was identified  
392 by the protonated molecular ion  $C_{19}H_{17}ClNO_4^+$  ( $m/z$  358.09), by the fragments  
393  $C_7H_4ClO^+$  ( $m/z$  138.995) and  $C_6H_4Cl^+$  ( $m/z$  111.00), and by the corresponding  
394  $^{37}Cl$  isotopes ( $C_{19}H_{17}^{37}ClNO_4^+$  at  $m/z$  360.08,  $C_7H_4^{37}ClO^+$  at  $m/z$  140.99,  
395  $C_6H_4^{37}Cl^+$  at  $m/z$  113.00), whereas PVP by the secondary ions  $C_6H_{10}NO^+$   
396 ( $m/z$  112.08),  $C_5H_8NO^+$  ( $m/z$  98.06),  $C_4H_8NO^+$  ( $m/z$  86.06) and  $C_4H_5O^+$   
397 ( $m/z$  69.03). Positive polarity ToF-SIMS spectra of the references, showing the  
398 selected characteristic peaks, are available in Fig. S8. A more extensive list of  
399 putative peak assignments is included in Table S4.

400 In order to further compare the impact of individual post-processing steps during  
401 ASD production, data for the IND-PVP system were collected directly after  
402 pelletisation of the HME filaments, as well as after pelletisation and grinding.  
403 Fig. 3 shows representative images acquired after 6 months of storage on (A)  
404 the stored, freshly pelletised, extrudate glass, (B) the pelletised, stored *as pellet*,  
405 extrudate glass and (C) the ground, stored, extrudate powder for the IND-C70  
406 system. Samples from the stored but freshly pelletised ASD extrudate give an  
407 indication on the APS/re-crystallisation tendency of the ASD bulk in absence  
408 of post-processing steps after HME. The pelletised, stored *as pellet* and the  
409 ground ASD extrudate samples allow an investigation on the impact of further  
410 material processing after HME, with significant differences in the experienced  
411 mechanical stress and final specific surface area.

412 As visible in the colour overlay images in Fig. 3 A and B, the stored extrudates

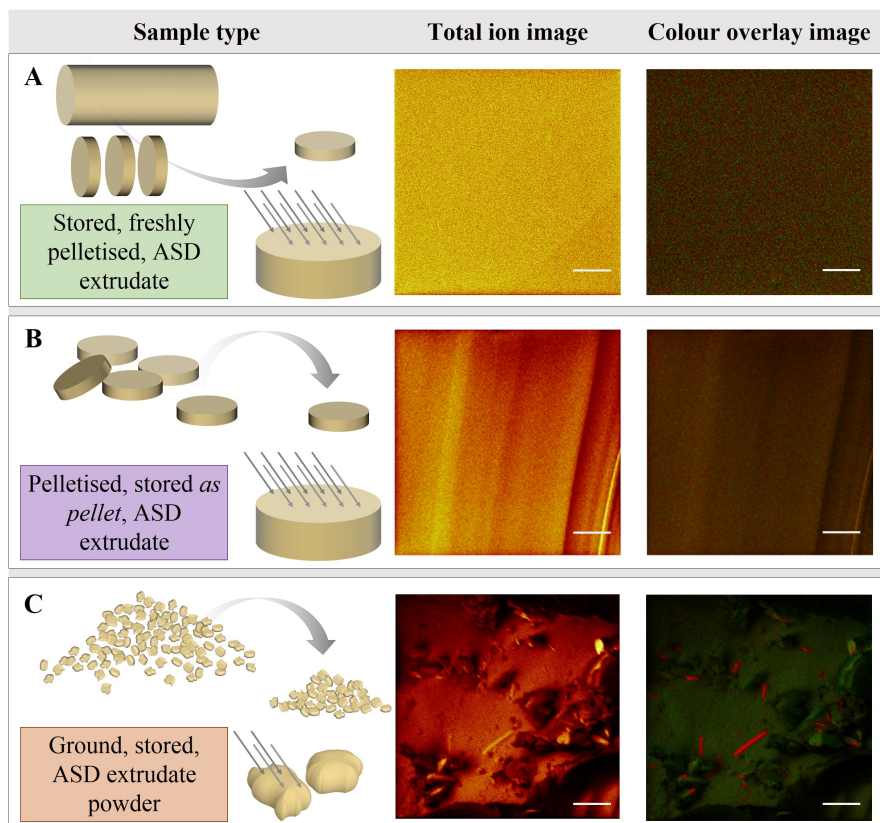


Figure 3: Sample preparation schematics and representative SIMS results for the IND-C70 system after 6 months of storage. ToF-SIMS total ion images and red-green colour-overlay images allow a visualisation of the surface topography and IND-PVP distribution. In the colour-overlay images, IND (identified by  $C_{19}H_{17}ClNO_4^+$ ,  $C_{19}H_{17}^{37}ClNO_4^+$ ,  $C_7H_4ClO^+$ ,  $C_7H_4^{37}ClO^+$ ,  $C_6H_4Cl^+$ ,  $C_6H_4^{37}Cl^+$ ) is shown in red, PVP ( $C_6H_{10}NO^+$ ,  $C_5H_8NO^+$ ,  $C_4H_8NO^+$ ,  $C_4H_5O^+$ ) in green. Scale bar represents 10  $\mu m$ . (A) Pellets with freshly exposed sample surface from stored extrudate and (B) stored, pelletised extrudate samples appear to have a homogeneous distribution of IND and PVP. (C) Particles from extrudate ground powder present IND-rich domains, indicating amorphous phase separation and re-crystallisation.

413 that were freshly pelletised after storage and the pelletised, stored *as pellet*  
414 material exhibit a uniform distribution of drug (red) and polymer (green), sug-  
415 gesting that the amorphous dispersion remains stable and homogeneous in the  
416 extrudate glass form (unground), both in the bulk and at the surface. This  
417 was observed for all produced drug loadings in extrudate glass samples and  
418 throughout the 12 month investigated storage time period, with additional color  
419 overlay images provided in Fig. S9. In contrast, the ToF-SIMS analysis of the  
420 ground material (Fig. 3 C) exhibited an inhomogeneous distribution of the two  
421 components, with the presence of well-defined and distinct IND-rich domains  
422 indicating significant phase separation during storage. The morphology and the  
423 extent of phase separation of these IND-rich domains suggest crystal formation  
424 on the surface of the ground material. The rhombic prism (“block-like”) crystal  
425 lattice is characteristic of the most thermodynamically stable form of IND, *i.e.*  
426  $\gamma$ -IND ( $\gamma$ -*polymorph*, Form I) [59], while the “needle-like” objects might be  
427 examples of the  $\alpha$ -*polymorph* (Form II), a metastable form which can however  
428 be observed in ambient conditions [60], and reliably isolated [59]. In general,  
429 the faster APS/re-crystallisation observed for the powder samples compared  
430 to the glass samples might be the result of expected differences in the surface  
431 roughness between both systems and the applied mechanical stress during the  
432 grinding process [61].

433 Representative ToF-SIMS images of the ground material for IND-C70 and IND-  
434 C85 which were acquired throughout the stability study are collated in Fig. 4A.  
435 The API distribution is displayed in red and the polymer distribution in green.  
436 For IND-C70, the number and size of IND-rich surface clusters significantly  
437 increase over the investigated storage time, from single, distinct entities first  
438 detected after 7 days, to the more pronounced, extensive APS/re-crystallisation  
439 observed after approximately 180 and 360 days of storage. Surface physical

440 instability and extensive cluster formation is even more evident in the images  
441 for IND-C85, the highest drug loading among those herein investigated for the  
442 IND-PVP ASD formulation.

443 Fig. 4B shows the quantified surface coverage of detected IND-rich domains  
444 as a function of storage time for the IND-C20, IND-C50, IND-C70 and IND-  
445 C85 IND-PVP ground, stored powder samples. As expected, the data indicate  
446 stronger APS/re-crystallisation tendencies and faster growth of IND surface  
447 coverage for higher drug loadings. The highest drug loading tested (IND-C85)  
448 exhibits a steep increase in the first 10 days, when the drug clusters cover up to  
449  $\sim 1.5\%$  of the analysed surface, followed by slower APS/re-crystallisation that  
450 converges towards a maximum just below 6% of surface coverage (Fig. 4B).

451 The coverage for IND-C70 remains stable below 0.5% for the first 30 days of  
452 storage (Fig. 4C) and thereafter the coverage values rise more slowly compared  
453 to IND-C85, which suggests that IND-C70 is kinetically more stable than IND-  
454 C85. IND-C70 reaches a surface coverage of  $\sim 4\%$  coverage after one year of  
455 storage. Conversely, the IND-C20 and IND-C50 extrudate powders exhibit a  
456 homogeneous distribution of the two components even after 6 and 12 months of  
457 storage: no IND-rich domains were detected on the surface of the aged IND-C20  
458 particles, and only an average of  $\sim 0.1\%$  coverage was quantified on the aged  
459 IND-C50, suggesting higher kinetic stability for these ASD systems (Fig. 4D). A  
460 selection of additional ToF-SIMS images for IND-C20 and IND-C50 is provided  
461 in Fig. S9.

462 X-ray powder diffraction (XRPD) analyses were conducted on IND-C85 after 1,  
463 7 and 22 months of storage for comparison with observed APS/re-crystallisation  
464 using ToF-SIMS. XRPD patterns for all measurements are reported in Fig. S13.  
465 The XRPD pattern at 1 month exhibits a broad amorphous halo, without any  
466 detectable crystalline peaks, suggesting that the sample is stable in its amor-

467 phous state. Only after 7 months small peaks start appearing, better observable  
468 after 22 months, indicating that crystalline content in the bulk and/or at the  
469 surface is present and increasing. The peaks correspond to  $\gamma$ -IND, whose sim-  
470 ulated reference XRPD pattern is also included in Fig. S13 ([58]).

471 The classical Avrami model (Equation 1) and its modified version accounting  
472 for non-constant nucleation rate (Equation 2) were used to correlate the rel-  
473 ative surface coverage ( $\alpha_s(t)$ ) with the storage time ( $t$ ) and to quantify the  
474 APS/re-crystallisation rate constants ( $k$ ). The APS/re-crystallisation kinetics  
475 of IND-C70 presents an apparent sigmoidal distribution with a defined induction  
476 time period, later followed by a rapid increase in the coverage % dominated by  
477 APS/crystal nucleation and growth. The system dynamics are best described  
478 using the modified Avrami model (Equation 2,  $n_A = 3$ ) for homogeneous nucle-  
479 ation and bi-dimensional growth of plate-like clusters as detected on the surface.  
480 For IND-C85, surface coverage data present no or only a very limited induction  
481 time period with a steep increase directly from day 0 (Fig. 4B), best modelled  
482 using Equation 1 with  $n_A = 1$ . This suggests the early presence of pre-nucleated  
483 IND-rich nano-clusters below the detection limit of the ToF-SIMS IP&A, and an  
484 immediate contribution of IND-rich domain growth constrained to needle and  
485 plate-like structures [55]. The quantified kinetic constants of the Avrami model  
486 were  $k_{\text{IND-C70}}$  of  $2.52 \cdot 10^{-7} \text{d}^{-1}$  and  $k_{\text{IND-C85}}$  of  $1.73 \cdot 10^{-2} \text{d}^{-1}$  for IND-C70  
487 and IND-C85, respectively. IND-C20 and IND-C50 data were not fitted be-  
488 cause they presented no or very low APS/crystallinity, and are only included as  
489 control points.

490 Changes in the population of detected IND-rich domains can be further quan-  
491 tified and visualised comparing the particle size distributions (PSDs) of these  
492 IND-rich domains detected on the surface of the ground powder samples across  
493 different storage times. Fig. 5 illustrates the cumulative area-based PSD (Q2)



494 of IND-C70 (A) and IND-C85 (B) for the investigated storage time of up to 360  
495 days. The PSDs are consistently shifted to larger particle sizes, thus suggest-  
496 ing continuous growth even after 180 days. After an initial induction period,  
497 IND-C70 exhibits continuous nucleation and growth during the observed phase  
498 transition, which results in a continuous broadening of the PSD and a shift of  
499 the PSD towards larger particle sizes particularly for the largest size fractions  
500 (EqD > 2  $\mu\text{m}$ ). After the first 90 days, the Q2D90 of IND-C70 increases by  
501 1.44  $\mu\text{m}$  (from 2.73  $\mu\text{m}$  at 90 days to 4.17  $\mu\text{m}$  at 360 days), while the Q2D25  
502 remains approximately stable at  $\sim 1.5$   $\mu\text{m}$  in the same time period. In com-  
503 parison, IND-C85 presents a more uniform shift of the PSD, which indicates a  
504 short, initial, nucleation-dominated stage and a subsequent growth-dominated  
505 stage. Sub-micron API-rich domains are still observed for both IND-C70 and  
506 IND-C85 even after 360 days of storage, accounting for approximately 10% of  
507 the overall drug coverage area. These results indicate that amorphous phase  
508 separation and crystal nucleation still take place even after extensive storage  
509 times. Additional numerical data of the PSDs presented in Fig. 5 are provided  
510 in Table S5.

511 The quantified and area-normalised number of detected IND-rich domains ( $n_{\text{Obj}}/A_{\text{ROI}}$ )  
512 for IND-C70 and IND-C85 also provides an indication of the nucleation rate  
513 ( $J(t)$ ) for each sample. The initial, constant nucleation rate ( $J_0 = J(t=0)$  with  
514  $\alpha_s \cong 0$ ) was estimated to be  $1.224 \cdot 10^{-03} \mu\text{m}^{-2}d^{-1}$  for IND-C85, which is 2 or-  
515 ders of magnitude higher than the nucleation rate for IND-C70 of  $1.429 \cdot 10^{-05}$   
516  $\mu\text{m}^{-2}d^{-1}$ . The fast nucleation kinetics of IND-C85 during this onset period  
517 aligns with earlier assumptions related to the presence of pre-nucleated IND-  
518 rich nano-clusters which quickly reach the detection limits of the ToF-SIMS  
519 IP&A within the first 5 days. For IND-C70,  $J_0$  is significantly lower, which  
520 might be the result of an induction time period spreading APS/crystal nucle-

521 ation events over a longer time period of up to 180 days. The underlying trend is  
522 similar to the one seen for the surface coverage, with a clear distinction between  
523 these two drug loadings. Details regarding the calculation of  $J_0$  are provided in  
524 the **supplementary information** (Section S1.4.3) with a image time-series in  
525 Fig. S11 showing detected IND-rich clusters and a plot in Fig. S12 for a direct  
526 visual comparison of the derived  $J_0$  for IND-C70 and IND-C85, respectively.

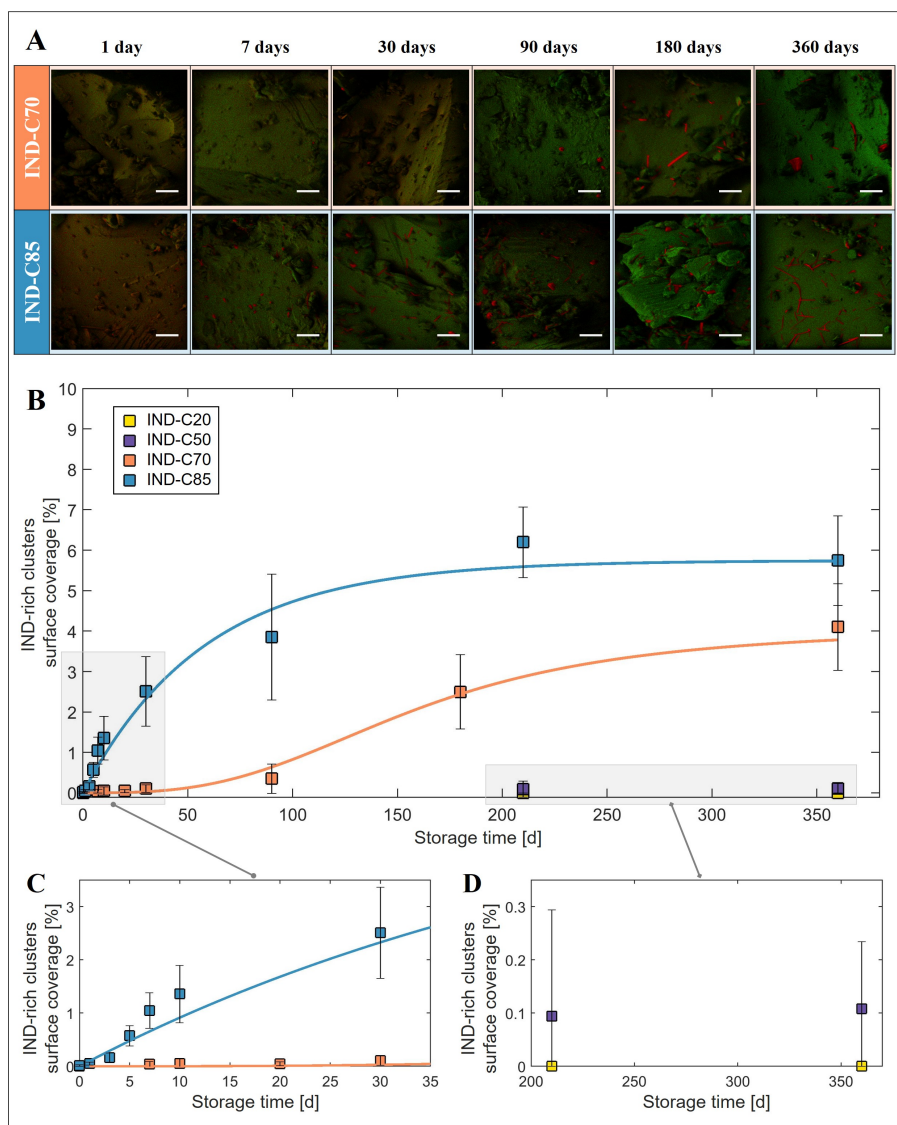


Figure 4: (A) Representative ToF-SIMS colour-overlay images of IND-C70 and IND-C85 ground powder samples. IND (identified by  $C_{19}H_{17}ClNO_4^+$ ,  $C_{19}H_{17}^{37}ClNO_4^+$ ,  $C_7H_4ClO^+$ ,  $C_7H_4^{37}ClO^+$ ,  $C_6H_4Cl^+$ ,  $C_6H_4^{37}Cl^+$ ) is shown in red, PVP ( $C_6H_{10}NO^+$ ,  $C_5H_8NO^+$ ,  $C_4H_8NO^+$ ,  $C_4H_5O^+$ ) in green. The corresponding greyscale images are provided in Fig. S10. Scale bar = 10  $\mu$ m. (B) Quantified surface coverage of detected IND-rich domains over an investigated storage time of 360 days for IND-C20, IND-C50, IND-C70 and IND-C85. Error bars represent standard deviation from multiple ToF-SIMS images ( $n_{\text{Img}} > 6$ ). The expanded views display (C) onset region (0 - 35 days) and (D) IND-C20 and IND-C50 low coverage values at 6 and 12 months.

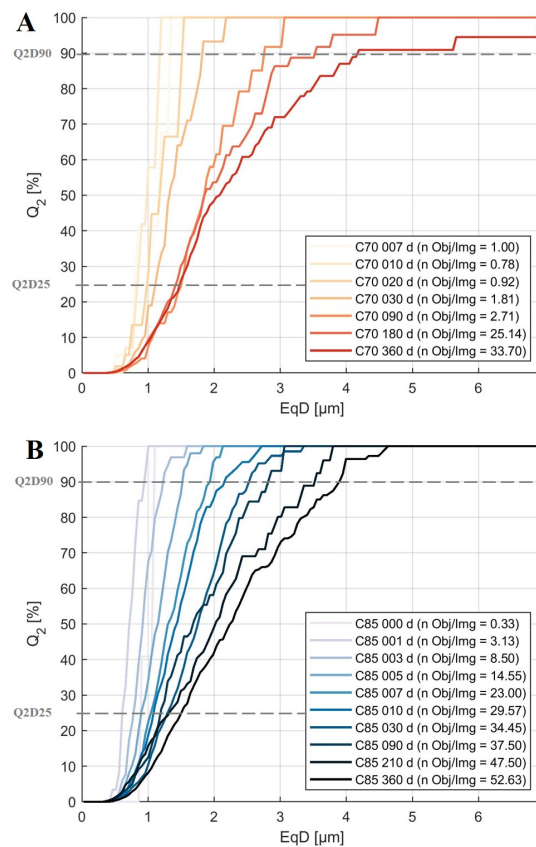


Figure 5: Cumulative particle size distribution of the API-rich domains detected on the surface of ground, stored ASD material for the IND-PVP formulations IND-C70 (A) and IND-C85 (B). The storage time and the average number of detected API-rich domains in each image are indicated in the insets.

527 **4. Discussion: ToF-SIMS imaging and amorphous phase separation**  
528 **of ASD systems**

529 Contrasting behaviours related to surface APS/re-crystallisation were observed  
530 for the two formulated drug systems investigated in this study. PCM-HPMC  
531 pellets exhibited fast formation of large PCM-rich domains, reaching 90% sur-  
532 face coverage within  $\sim 30$  days after HME for the PCM-C50 and for the PCM-  
533 C35 formulations. In comparison, IND-PVP ground material showed only mod-  
534 est surface APS/re-crystallisation with the appearance of isolated IND-rich do-  
535 mains leading to a surface coverage below 7% for IND-C85 and IND-C70 after  
536  $\sim 360$  days. The results indicate that APS/re-crystallisation in ASDs is greatly  
537 affected by the re-crystallisation tendency/propensity of the specific drug can-  
538 didate [23, 21]. PCM in its amorphous form is well known for being highly  
539 unstable, with re-crystallisation rates in the order of minutes at room temper-  
540 ature [62, 63, 41, 64]. Initial stages of amorphous phase separation leading to  
541 the formation of drug-rich domains became apparent using ToF-SIMS imaging  
542 within the first 24 hours after HME for PCM-HPMC (PCM-C35 and PCM-C50)  
543 and after 1 day of storage for IND-PVP (IND-C85), whilst a commonly em-  
544 ployed technique such as XRPD did not show crystallinity on the corresponding  
545 samples for considerably longer time periods in the stability test (5 months for  
546 the PCM-C35 PCM-HPMC, Fig. S7 and 7 months for the IND-C85, Fig. S13).  
547 This discrepancy suggests that ToF-SIMS allows the detection of drug-rich do-  
548 mains before re-crystallisation occurs or that the total crystalline content at this  
549 early stage of the stability study remains below the XRPD detection limit of  
550 1-5% w/w [27], leaving physical instability undetected using XRPD. The abil-  
551 ity of ToF-SIMS to detect APS and its inherent high sensitivity are therefore  
552 particularly beneficial in the pharmaceutical industry during the *drug product*  
553 *development* phase, when it is crucial to reliably assess the stability of product

554 formulations at an early stage, and to promptly identify kinetically unstable  
555 systems leading to phase separation over the product's shelf life.

556 HME post-processing such as milling and grinding enhanced the APS/re-crystallisation  
557 kinetics in ASDs of IND-PVP comparing pelletised and ground material stored  
558 in the same conditions for up to 12 months, with the pellets showing good  
559 stability and the ground powder exhibiting a significant degree of APS/re-  
560 crystallisation. The increased APS/re-crystallisation in the ground powder ma-  
561 terial is possibly linked to the generation of mechanical stress and defects [61]  
562 during milling/grinding, as well as to the creation of a higher specific surface area  
563 in the ground powder that increases the probability of crystal nucleation and  
564 surface-enhanced re-crystallisation [63]. A careful risk assessment is therefore  
565 crucial to manufacture safe and reliable ASD formulations. ToF-SIMS can sup-  
566 port faster process development through an earlier detection and an improved  
567 understanding on the impact of post-processing on ASD solid state stability.

568 The induction time after which surface APS/re-crystallisation was first observed  
569 was considerably reduced for the highest drug-loadings in both compound sys-  
570 tems, suggesting the presence of pre-nucleation clusters shortly after HME.

571 This behaviour highlights the supersaturated nature of these compositions and  
572 might indicate that the process conditions were not sufficient to eliminate these  
573 pre-nucleation clusters during HME for the highest drug-loadings. Nanometre-  
574 scale residual crystals, which could act as re-crystallisation *nuclei*, might not  
575 be detected by DSC and XRPD [26]. On the contrary ToF-SIMS, with its  
576  $\sim 200$  nm spatial resolution, enabled the detection of sub-micron sized clusters.

577 Both case studies highlight that the *APS/nucleation* phase continues, despite  
578 not being dominant, long after the *API-rich domain growth* phase has started  
579 (e.g. Fig. S3 and Fig. S12). This indicates a highly localised behaviour during  
580 APS/re-crystallisation where local drug-rich domains only deplete their direct

581 vicinity and further growth quickly becomes mass-transfer limited. In this con-  
582 text, the spatially resolved mass-spectral information from ToF-SIMS provide  
583 essential details on the local chemical homogeneity of solid pharmaceutical sys-  
584 tems.

585 Combined with implemented IP&A methodologies for an automated and re-  
586 liable quantification, the ToF-SIMS image data provide a means to elucidate  
587 underlying phase transformation mechanisms of amorphous phase separation,  
588 nucleation and crystal growth. Surface APS/re-crystallisation of the two ASD  
589 systems was successfully monitored and quantified over the course of the stabil-  
590 ity study to inform on phase transformation kinetics which were extracted using  
591 a (modified) Avrami model. IP&A further enables the extraction of size and  
592 shape descriptors such as the API-rich domain equivalent circle area diameter  
593 (EqD) and area ( $A_{Obj}$ ). These were used to monitor changes in the particle  
594 size distribution which can be related to nucleation and growth phenomena.  
595 Tracking the total number of detected clusters overtime further revealed de-  
596 layed/secondary events of amorphous phase separation and re-crystallisation,  
597 *i.e.* occurring at time-points at which crystal growth was simultaneously ob-  
598 served. Differences in the API-rich domain morphologies were observed in the  
599 high-resolution ToF-SIMS image data (e.g. spiral growth for PCM, needle-like  
600 for IND). Despite out of scope for this application, quantitative information on  
601 the crystal morphology can potentially be utilised to further distinguish between  
602 crystal polymorphs and better predict crystal growth kinetics.

603 The combined approach of using IP&A to support ToF-SIMS as an advanced  
604 surface characterisation technique with highly spatially resolved chemical infor-  
605 mation offered an effective opportunity to gain a better understanding of the  
606 surface APS/re-crystallisation mechanisms in ASDs. The presented ToF-SIMS  
607 methodologies have potential wider applicability outside of the pharmaceutical

608 product development, in other industrial areas. For instance, a better under-  
609 standing and monitoring of surface instability can aid preventing corrosion in  
610 energy storage technologies, maintaining the favourable electric properties of  
611 amorphous semiconductor or avoiding loss of strength of amorphous metal al-  
612 loys upon phase transformation in structural material applications.

## 613 **5. Conclusions**

614 This work demonstrates the combination of high resolution ToF-SIMS imaging  
615 and image analysis to monitor the physical stability of ASDs during stability  
616 testing and to extract quantitative information related to observed phase trans-  
617 formation kinetics. Formulations of two model substances were included in this  
618 study, IND-PVP and PCM-HPMC, each with four different drug loadings. The  
619 two compound systems exhibited extremely different surface amorphous phase  
620 separation/re-crystallisation behaviours: (1) the PCM-HPMC system presented  
621 a fast formation of extensive API-rich domains, which covered the surface of  
622 the high drug loading PCM-HPMC pellets within 1 month from HME; in com-  
623 parison, (2) the IND-PVP system presented a more moderate surface physical  
624 instability, characterised by the formation of isolated, distinct needle-like IND-  
625 rich domains on the surface of the ground powder. Clear differences in the  
626 physical stability were observed characterising amorphous phase separation/re-  
627 crystallisation across multiple post-process manufacturing steps where applied  
628 mechanical stress for size reduction through grinding or milling and an increased  
629 specific surface area significantly promote local phase separation in IND formu-  
630 lations.

631 ToF-SIMS high spatial resolution and chemical sensitivity were key factors to  
632 assess the local chemical homogeneity of these multi-component solid phase  
633 systems and to indicate amorphous phase separation and re-crystallisation phe-



634 nomena already at an early stage of drug cluster formation. Notably, ToF-SIMS  
635 showed signs of physical instability significantly earlier than XRPD, a well es-  
636 tablished solid-state characterisation technique used to detect crystallinity. For  
637 the IND-PVP system, ToF-SIMS imaging provided evidence of surface phys-  
638 ical instability within the first 24 hours from sample manufacturing, whilst  
639 XRPD detected signs of instability (crystallinity) only after approximately seven  
640 months. The developed ToF-SIMS characterization approach therefore enables  
641 an early assessment of phase separation tendencies and physical stability which  
642 is pivotal for a time-efficient formulation development of new pharmaceutical  
643 products which typically undergo long stability studies. Combined with ad-  
644 vanced methodologies for data analysis, the quantitative information extracted  
645 from ToF-SIMS hyperspectral image data can provide crucial insights into the  
646 transformation dynamics during solid phase separation, helping to better un-  
647 derstand limitations for kinetically stabilised ASD formulations. This supports  
648 the development of safe medicines at reduced costs due to faster pharmaceutical  
649 development times, which ultimately aims to benefit patients.

## 650 **Data Statement**

651 The developed MATLAB scripts and the data underpinning this publication  
652 will be available from the University of Strathclyde KnowledgeBase at [https://](https://doi.org/10.15129/f9129326-dbb8-49b3-9a2d-c45da73f292a)  
653 [doi.org/10.15129/f9129326-dbb8-49b3-9a2d-c45da73f292a](https://doi.org/10.15129/f9129326-dbb8-49b3-9a2d-c45da73f292a) from 2026 on-  
654 wards, following the cessation of an embargo period. Further details relating to  
655 the data and the embargo can be accessed from the portal.

## 656 **Contributions**

657 E.P. conceived the study, performed all ToF-SIMS characterisation, analysed  
658 data and interpreted results, contributed to the IP&A routine, wrote the manuscript.

659 F.J.S.D. developed the IP&A routine, performed XRPD analysis for the IND-  
660 PVP systems, contributed to data interpretation and to the drafting of the  
661 manuscript. E.B. performed HME and XRPD for the PCM-HPMC systems.  
662 I.O. provided material for the IND-PVP systems. D.A.L., A.J.F. and G.W.H.  
663 provided funding. I.S.G. provided advice on ToF-SIMS measurements and inter-  
664 pretation, reviewed the manuscript. G.W.H. provided supervision and advice on  
665 formulation strategies, manufacturing, characterization and data interpretation,  
666 reviewed the manuscript. All authors approved the final manuscript.

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679 Measurement System of the UK Department of Business, Energy and Industrial  
680 strategy.

### 681 **Abbreviations**

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**Acronym**

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API	Active pharmaceutical ingredient
APS	Amorphous phase separation
ASD	Amorphous solid dispersion
DSC	Differential scanning calorimetry
EqD	Equivalent circle area diameter
FoV	Field of view
HME	Hot melt extrusion
HPMC	Hydroxypropyl methylcellulose
HS	Hotspot
IND	Indomethacin
IP&A	Image processing and analysis
MSE	Mean squared error
$m/z$	<i>Mass-to-charge</i> ratio
PCM	Paracetamol
PDMS	Polydimethylsiloxane
PID	Primary ion dose
PSD	Particle size distribution
PVP	Polyvinylpyrrolidone
RH	Relative humidity
ROI	Region-of-interest
SEM	Scanning electron microscopy
$T_m$	Melting temperature
ToF-SIMS	Time of flight-secondary ion mass spectrometry
XRPD	X-ray powder diffraction

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### **Symbols**

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$k$	Avrami re-crystallisation rate constants
$n_A$	Avrami exponent

$\alpha_s(t)$	Relative crystalline fraction
$J_0$	Nucleation rate

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682

### 683 **Supplementary information**

684 Structural formulae and repeat units of the chemicals used in the study and  
685 brief description of their function; positive polarity ToF-SIMS spectra of PCM,  
686 HPMC, IND and PVP reference powders and putative peak assignments; XRPD  
687 patterns for the PCM-HPMC and for the IND-PVP systems during storage;  
688 supplementary ToF-SIMS and optical microscopy images.

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