

Assisted Living Community

ALC-04 Advanced Care Plan/Surrogate
Decision Maker

Process Steps

5 Steps for ALC Abstraction and submission

1. Determine the quarter of data you are planning to submit
2. Refer to the associated Specification Manual
3. Collect the denominator
4. Collect data for the measure in the numerator population
5. Enter data into DDS

Step 1:

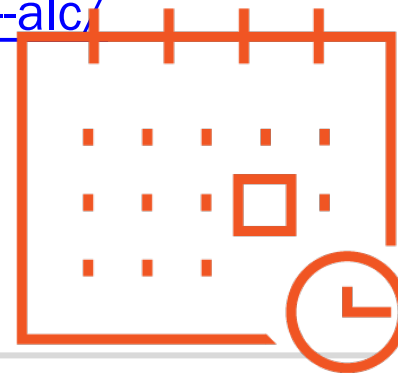
Determine the quarter of data you are planning to submit:

Quarter 1, 2, 3, or 4 for 20xx year

Data is optional for CY2022/CY2023: any or all 4 quarters may be submitted

Data is required for CY2024: all 4 quarters must be submitted

For Reporting Requirements see the [Measurement](https://www.jointcommission.org/measurement) (<https://www.jointcommission.org/measurement>) section of the external Joint Commission website: <https://www.jointcommission.org/measurement/accreditation---alc/>



Step 2:

Refer to the associated Specification Manual on the [ALC webpage \(https://www.jointcommission.org/measurement/accreditation--alc/\)](https://www.jointcommission.org/measurement/accreditation--alc/) under specifications.

[Home](#) > [Measurement](#) > [Assisted Living Community \(ALC\)](#)

ORYX Performance Measurement Reporting

Information about ORYX® reporting requirement for the Assisted Living Community (ALC) Accreditation Program.



Measurement	
Measures	+
Specifications Manuals	+
Reporting	+
Pioneers in Quality	+
Resources	
ORYX FAQs	
Quality Measurement Webinars & Videos	+
Assisted Living Community (ALC)	

Facts about ORYX for ALC Program

- The Joint Commission's ORYX initiative integrates performance measurement data into the accreditation process.
- ORYX measurement requirements support Joint Commission-accredited organizations in their quality improvement efforts.

The following sections provide the ORYX reporting requirements for the respective year and links to important resources and supporting material.

2023 ORYX Reporting Requirements for ALC Program	+
Key Communications	+
Resources	+
Specifications	-

Measure specifications are detailed in the Specifications Manual which is accessible on The Joint Commission's website under the Specifications Manuals/Chart Abstracted Measures page.

[Joint Commission Specifications Manuals](#)

Step 2 (continued):

Refer to the associated ALC Specification Manual on the Chart Abstracted Measure Specifications Manuals home page.

<https://manual.jointcommission.org/Home/WebHome>

Chart Abstracted Measure Specifications Manuals

[? Have a question?](#)

[Hospitals and Outpatient Centers](#)

[Assisted Living Community](#)

[Health Care Staffing](#)

Q3/Q4 2023 - Version 2023B NEW Applicable 07-01-23 (3Q23) through 12-31-2023 (4Q23) Future +

Q1/Q2 2023 - Version 2023A Applicable 01-01-23 (1Q23) through 06-30-23 (2Q23) Current +

Q3/Q4 2022 - Version 2022B Applicable 07-01-22 (3Q22) through 12-31-22 (4Q22) Recent Past +

Q3 2021 - Version 2021B Applicable October 2021 through June 30, 2022 Recent Past +

Additional Documentation

Assisted Living Community (ALC) Certification Program Performance Measure Abstraction Template:

[ALC Abstraction Template](#)

Data Entry Guide for Chart-Abstracted Measures:

This guide describes the aggregate data requirements for Assisted Living Communities (ALC) submitting chart-abstracted measure data the Direct Data Submission Platform. The guide is available under the "Guide for Data Entry" section of the [Chart Abstracted Measures page](#) on The Joint Commission Website.

Step 2 (continued):

Assisted Living Community Measures (v2023B)

Posted: 02/03/2023

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Release Notes:
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Version 2023B

Assisted Living Community Measures

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Measure Sets

Section 1: Measure Information Forms

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 - [ALC-2](#)
 - [ALC-3](#)
 - [ALC-4](#)
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Section 2: Data Dictionary

- [Introduction to the Data Dictionary](#)
- [Alphabetical List of Data Elements](#)

Section 3: Overview of Measure Information Form and Flowchart Formats

- [Overview of Measure Information Form and Flowchart Formats](#)

Step 3:

Collect denominator:

ALC-04 Gather a list of ALL Residents who are NEW in the assisted living community each month

Denominator Statement: Number of residents who are new to the assisted living community each month.

Included Populations: Not applicable

Excluded Populations: Not applicable

Data Elements:

- New Resident



Name: New Resident

Collected For: ALC-03, ALC-04

Definition: Number of new residents who moved in during the month being reviewed.

Question: What is the number of new residents at the assisted living community at the end of the month?

Format:
Length: 3
Type: Numeric
Occurs: 1

Allowable Values:
Number 0-199 or UTD

Step 3 (continued):

Collect denominator:

ALC-04 Collect Number of residents who are new to the assisted living community each month

- The initial population = the denominator
- Add the number of new residents and put the count in the total population and denominator fields

	Initial Populations (Initial Populations = Denominators)	Initial Populations (Initial Populations = Denominators)	Measures	Measures	Measures	Measures
Counts	Total Residents	New Residents	ALC-01 Off-Label Antipsychotic Drug Use	ALC-02 Resident Falls	ALC-03 Resident Preferences and Goals of	ALC-04 Advanced Care Plan/ Surrogate Decision Maker
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
Total Population			*	*	*	*
Denominator			*	*	*	*
Numerator	*	*				
* These cells intentionally left blank.						

Step 4:

Collect numerator: Collect data for the measure in the numerator population

Numerator Statement: Residents who have an advance care plan or surrogate decision maker documented in their record or documentation that an advance care plan was discussed but the resident did not wish or was not able to name a surrogate decision maker or provide an advance care plan per month.

Included Populations:

- Residents that declined to discuss an advance care plan or surrogate decision maker.

Excluded Populations: Not applicable

Data Elements:

- Advanced Care Plan/Surrogate Decision Maker



Name: Advanced Care Plan/Surrogate Decision Maker

Collected For: ALC-04

Definition: Documentation of an advanced care plan or a surrogate decision maker in the resident's record. An advance care plan includes instructions given by individuals specifying what actions should be taken for their health if they are no longer able to make decisions due to illness or incapacity, and therefore appoints a person to make such decisions on their behalf.

Question: Is there documentation of an advanced care plan/surrogate decision maker in the resident's record?

Format: **Length:** 1
Type: Alphanumeric
Occurs: 1

Allowable Values:

Y (Yes) Documentation of an advanced care plan/surrogate decision maker was present in the resident's record or the resident refuses.

N (No) There was no documentation of an advanced care plan/surrogate decision maker in the resident's record, or unable to determine from medical record documentation.

Notes for Abstraction:

- If the resident is given written information on resources to formulate an advanced directive, select 'Yes'.
- If there is documentation of a discussion initiated by the assisted living community staff, but the resident declined the discussion, select 'Yes'.
- If there is documentation that the resident has an advanced care plan, but a copy is not present in their record, select 'No'.
- See inclusion list for acceptable documentation of an advanced care plan.

Step 4 (continued):

Collect data for the measure in the numerator population:

- Numerator Data Element "Advanced Care Plan/Surrogate Decision Maker" – Is there documentation of an advanced care plan/surrogate decision maker in the resident's record?
- Add the number of new residents for which you answered yes and put it in the Numerator field

*	Initial Populations (Initial Populations = Denominators)	Initial Populations (Initial Populations = Denominators)	Measures	Measures	Measures	Measures
Counts	Total Residents	New Residents	ALC-01 Off-Label Antipsychotic Drug Use	ALC-02 Resident Falls	ALC-03 Resident Preferences and Goals of	ALC-04 Advanced Care Plan/ Surrogate Decision Maker
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
Total Population			*	*	*	*
Denominator			*	*	*	*
Numerator	*	*				
* These cells intentionally left blank.						

Step 5:

Enter Data into DDSP:

Example: You abstract cases for the month of January. On January 31st there are 3 new residents living at the assisted living community. Your denominator will be 3. When you look back through the 3 new resident's records, there were 2 residents that had documentation of an advanced care plan/surrogate decision maker.

You enter in DDSP:
Denominator = 3; Numerator = 2

	Initial Populations (Initial Populations = Denominators)	Initial Populations (Initial Populations = Denominators)	Measures	Measures	Measures	Measures
Counts	Total Residents	New Residents	ALC-01 Off-Label Antipsychotic Drug Use	ALC-02 Resident Falls	ALC-03 Resident Preferences and Goals of	ALC-04 Advanced Care Plan/ Surrogate Decision Maker
1	a			x		
2	b	x			x	x
3	c		x			
4	d					
5	e					
6	f	x	x		x	
7	g					
8	h	x			x	x
9	i					
10	j					
Total Population	10	3	*	*	*	*
Denominator	10	3	*	*	*	*
Numerator	*	*	2	1	3	2
* These cells intentionally left blank.						

Step 5 (continued):

Login to DDSP from [The Joint Commission website](#):

The screenshot shows the top navigation bar of The Joint Commission website. The logo is on the left, followed by a dropdown menu labeled 'Our Websites'. A search bar with the placeholder text 'Search this site.' and a magnifying glass icon is next to it. The 'Login' button is highlighted with a red rectangle. Below the navigation bar is a dark blue horizontal menu with white text and dropdown arrows for 'Who We Are', 'What We Offer', 'Our Priorities', 'Standards', 'Measurement', and 'Resources'. The main content area has a large 'Login' heading. Below it is a subheading: 'Select the login link below for the resource you desire to access.' There are three columns of login options. The first column is for 'Joint Commission Connect®', with buttons for 'Joint Commission Connect' and 'Request guest access'. The second column is for 'JCR® Store', with buttons for 'Store' and 'Create an account', and a link for 'Contact the store'. The third column is for 'Joint Commission Direct Data Submission Platform (DDSP)', with a button for 'Direct Data Submission Platform' highlighted by a red rectangle.

The Joint Commission

Our Websites ▾

Search this site. 🔍

Login

Who We Are ▾ What We Offer ▾ Our Priorities ▾ Standards ▾ Measurement ▾ Resources ▾

Login

Select the login link below for the resource you desire to access.

Joint Commission Connect®

Accredited organizations have access to a dedicated extranet site on JC Connect.

Joint Commission Connect

Request guest access

JCR® Store

Browse products and services offered to help you with your accreditation journey.

Store Create an account

[Contact the store](#)

Joint Commission Direct Data Submission Platform (DDSP)

Dedicated data submission platform for accredited organizations with ORYX Performance Measurement requirements.

Direct Data Submission Platform

Step 5 (continued):

From home page select:
Chart-Abstracted Measure Submission




The screenshot shows the home page of the Direct Data Submission Platform (DDSP). The header includes the The Joint Commission logo, the organization name (999999813), and the location (Oakbrook Terrace, IL). A 'Mock HCO' button is also present. The main navigation bar includes a 'Home' button and a 'Switch HCO' button. The left sidebar contains several menu items: 'Invite & Manage Users', 'HCO Characteristics', 'eCQM Submission', 'Chart-Abstracted Measure Submission' (highlighted with a red box), and 'User Settings'. The main content area displays 'HCO Characteristics' with a table showing the Organization Name (Your Organization Name) and HCO ID (999999813). Below this, there are four tabs: 'Organization Information', 'EApp Data', 'Organization Requirements', and 'Extenuating Circumstances'. The 'Organization Information' tab is active, showing the HCO ID (999999813) and the Organization Legal Business Name (Your Organization Name).

HCO Characteristics	
Organization Name Your Organization Name Oakbrook Terrace, IL	HCO ID 999999813

Organization Information	EApp Data	Organization Requirements	Extenuating Circumstances
HCO ID 999999813			
Organization Legal Business Name Your Organization Name			

Step 5 (continued):

In the **Measure List** page: select the **'Open'** button for the measure to open the measure form

**The Joint Commission**

Your Organization Name (999999813)
Oakbrook Terrace, IL Mock HCO

Welcome HCO Oryx
Last Log In 02/20/2023 11:28 AM


 [Home](#) Direct Data Submission Platform (DDSP) [Switch HCO](#) [Need Help?](#) [Logout](#)

Chart-Abstracted Measure Submission

The entire calendar year must be submitted for each chart-abstracted measure. Data for seasonal measures (e.g., IMM-2) must be submitted for every quarter the measure is applicable. For mid-year changes in service line (e.g. obstetrical, ED, etc.) please notify The Joint Commission via Need Help? Ticket. The submission deadline for each quarter is below. [See ORYX Reporting for more information.](#)

Measure Year: 2022 ▾

Measure ID	Name	Q1 2022 <small>Closes 06-14-2023</small>	Q2 2022 <small>Closes 06-14-2023</small>	Q3 2022 <small>Closes 06-14-2023</small>	Q4 2022 <small>Closes 06-14-2023</small>	
ALC-01	Off-Label Antipsychotic Drug Use <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open
ALC-02	Resident Falls <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open
ALC-03	Resident Preferences and Goals of Care <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open
ALC-04	Advanced Care Plan/ Surrogate Decision Maker <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open
ALC-05	Staff Stability <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open

Step 5 (continued):

ALC-04 form opens

- 1. Measure Name & Details
- 2. Quarter Tab
- 3. Month of quarter
- 4. Select “Edit”
- 5. Enable

ALC-04

Advanced Care Plan/ Surrogate Decision Maker

Details :

Direction Of Improvement : Increase in the rate

Measure Type : Process

Data reported as : Proportion

Sub population : N/A

Stratifications :

N/A

1

2

First Quarter 2022

Closes 06-14-2023

Second Quarter 2022

Closes 06-14-2023

Third Quarter 2022

Closes 06-14-2023

Fourth Quarter 2022

Closes 06-14-2023

3

Jan

Enable to submit data

5

Feb

data

4

Mar

Edit

Clear Data

Measure

Denominator

Zero Denominator Case Attestation

Numerator

Observed Rate

Click 'Submit' to Calculate

Click 'Submit' to Calculate

Click 'Submit' to Calculate

Need Help?

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Step 5 (continued):

Enter Collected Data, then Submit

6. Denominator

7. Numerator

8. Submit

Last modification:

First Quarter 2022 Closes 06-14-2023 Second Quarter 2022 Closes 06-14-2023 Third Quarter 2022 Closes 06-14-2023 Fourth Quarter 2022 Closes 06-14-2023

Jan Feb Mar

Enable to submit data ☐ Enable to submit data ☐ Enable to submit data ☐

Measure

Denominator

Zero Denominator Case Attestation ☐ ☒ ☐

Numerator

Observed Rate

CAM: Submission Status

–Home Page CAM Submission status:

1. The status of the active ALC is displayed under “status”
2. The Status for all ALCs the user has access to is displayed when clicking “Open” from the table below
3. The CAM Submission report for each ALC can be downloaded

The screenshot displays the 'Direct Data Submission Platform' home page. At the top, it shows 'Your Organization Name (999999813)' and 'Oakbrook Terrace, IL' with a 'Mock HCO' button. The navigation bar includes 'Home', 'Direct Data Submission Platform', and 'Switch HCO'. A 'Submission Period' dropdown is set to '2022'. The main content area is divided into three sections: 'Your Organization Name (999999813)' with a status summary, 'Important Updates', and 'Outstanding Tasks'. The 'Your Organization Name' section shows 'Chart Abstracted Status: 1Q2022 In Progress' and 'eCQM Status: eCQM Module Disabled'. The 'Chart-Abstracted Measure Submission Status' section shows a table with submission status for 1Q 2022. The table has columns for status (with a count), description, and an 'Open' button. The status 'Complete' is highlighted with a callout '2'. The 'Open' button for the 'Complete' status is highlighted with a callout '3'. An orange arrow points from the 'Open' button in the 'Open' status row to the 'Open' button in the 'Complete' status row.

Status	Description	Action
0	Chart-Abstracted Module Disabled	Open
0	Chart-Abstracted ECR on file	Open
1	Not Started	Open
2	In Progress	Open
0	Complete	Open

Website Navigation for ALC-04 Measure



Transcript - Video Short for ALC-4: Assisted Living Community Advanced Care Plan or Surrogate Decision Maker

March 2023

Hello and welcome to the Video Short for Assisted Living Community for Advanced Care Plan or Surrogate Decision Maker.

Let's start with some basics. There are five steps for abstracting and submitting your measure data to The Joint Commission. First, determine which quarter of data you will be submitting. Next, you'll open the Specification Manual associated with the dates you will be abstracting. Then you'll collect data for the measures in the denominator and the numerator populations as specified by the manual. And finally, you will enter your data into the platform.

Let's take a closer look at each step. The first step for data abstraction is to determine which quarter of data you are abstracting for. Data for all four quarters, 12 months, during a reporting year must be collected for the ALC chart abstracted measures.

Let's say you're going to submit data on Quarter 1 2022. You would need to abstract the measures for each month in the quarter: January, February and March. For slide 2, refer to the associated Specification Manual, you will need to find the links to the chart abstracted manuals on the Joint Commission website.

The ALC manual is found by going to the Manual Home page, then the Assisted Living Community page. This page has all the ALC information: ORYX Requirements, Key Communications, Resources, Specifications and Webinars. On this page you will click on the plus sign (+) next to the Specification Manuals. This will open the section and you can click on the Joint Commission Specification Manuals.

Now you are on the Chart Abstracted Measure Specification Manual Home page. Select the Assisted Living Community Manual in the middle. At the bottom of this page is a link to an ALC abstraction template. This template is optional but can assist an abstractor in tracking numerator and denominator count.

There will also be a link to the Data Entry Guide for chart abstracted measures, which is a reference for submitting your data. Choose the Specification Manual for the applicable quarter of data you are abstracting for. Click View Web Version and the specifications for each of the five ALC measures will be available along with additional information for your abstraction needs.

Here is a view of the table of contents in the ALC Specification Manual. Since we are abstracting for the ALC-4 measure, you would select ALC-4 to view the specification.

Step 3 would be to use the measure specifications to collect the denominator for the measure using the denominator data element, New Resident in the Specification Manual for ALC-4, you

would need to collect the number of new residents at the assisted living community at the end of the month.

Here is a screenshot of the template which can be downloaded from the ALC manual home page.

As you can see, you would count the number of new residents at the assisted living community at the end of the month and enter this number as the total population number and denominator for ALC-4. Step 4 in the abstraction process is to collect data for the measure in the numerator population.

Using the ALC Measure Information in the specification manual, you will see that the data element for the numerator is Advanced Care Plan or Surrogate Decision Maker.

When you open the data element link, you are to answer the question: Is there documentation of an advanced care plan or surrogate decision maker in the resident's record? Under the notes for abstraction, there are several instructions pertaining on when to select Yes and No. Using the abstraction template, you would mark which residents you answered Yes to and answer that number in the numerator field.

Step 5 is to enter the data into the DDSP. In this example, you are abstracting cases for the month of January. On January 31st, there are 3 new residents living at the assisted living community. Your denominator will be 3. When you look back through the 3 residents' records, there were 2 residents with an advanced care plan or surrogate decision maker documented in their record. Your numerator will be 2.

Log into the DDSP system via the Login page on the Joint Commission website. From the Home page, select Chart Abstracted Measure Submission. Find the measure you are submitting data on. For our example, you would select ALC-4.

Click Open on the right hand side of the screen. On the submission form, you will see the header with the measure name and details. You can select the tab for the quarter you are submitting data for. On the quarterly submission tab, you can see the months in the quarter. Click Edit to allow for data entry. When the form is in edit mode, a Submit button replaces the Clear button. However, after you submit the data, the Clear button becomes enabled so you can clear data to reenter if needed.

Before entering the data in the denominator numerator field, you need to use the toggle button under the month for which you are submitting to activate the fields.

The Enable toggle allows data entry for each month and, in case there are errors in other months, you can still enter and submit one month at a time. As you can see, for the month of January in Quarter 1 2022, the denominator was 3 and the numerator was 2. The DDSP automatically calculates the observed rate shown in blue. Click Submit.

The Enable toggle allows data entry for each month and, in case there are errors in other months, you can still enter and submit data one month at a time. As you can see for the month of January in Quarter 1 2022, the denominator was 3 and the numerator was 2. The DDSP automatically calculates the observed rate shown in blue. Click Submit.

On the DDSP homepage, you will see the status of the organization's measure submission. If multiple organizations are under one system and data is submitted by a single user, the user can click Open and see the status of measures for each individual organization.

Finally, a Submission Report can be downloaded by clicking on the link Download Submission Report.

Now we will show you the Measure Specification manual as it relates to abstracting ALC-4, On the Manual Home page, click on the Assisted Living Community Manual. As you can see, the ALC Abstraction template is available for download on this page. Select the manual associated with the dates being abstracted and click on View Web Version.

From the Table of Contents page, you can see the ALC measures. Additional sections for information on using the manual and release notes for the updated manual. Click on ALC-4.

Here you can see the Measure Information Form for measure abstraction. You would want to see the denominator and numerator sections. As you can see here, the denominator statement is: the number of new residents in the assisted living community at the end of the month. The data element is to provide guidance on abstraction and is called New Resident. Click on this data element.

The Data Element page lists the name, which measures it is collected for, the definition, and question for abstraction. It also provides the allowable values you need to answer the question. For the data element, New Resident, the allowable value would be a number between 0 and 199 or UTD, unable to determine.

Back on the measure information form, you will now look to the numerator statement, which is: the number of residents with an Advanced Care Plan or Surrogate Decision Maker in the resident's record. The data element for the numerator is Advanced Care Plan or Surrogate Decision Maker. Click on the data element and you will see that you are to answer the question: Is there documentation of an Advanced Care Plan or Surrogate Decision Maker in the resident's record? The allowable values are Y for Yes, documentation of an Advanced Care Plan or Surrogate Decision Maker is present in the resident's record or the resident refuses, or N, for No, there was no documentation of an Advanced Care Plan or Surrogate Decision Maker in the resident's record or unable to determine from medical record documentation.

Under Notes for Abstraction, there are several instructions on pertaining to when to select Yes or No.

Now that you have the denominator and numerator counts, you could enter the data in the template if you opted to use this tool, and also in the DDSP. For more information on the DDSP platform, see the ALC Onboarding Webinar video, or the Video Shorts. Links are located on the ALC Confluence Page, which is available on the ALC web page under Resources and FAQs.