



# EDI Trading Partner Information



## Standard Companion Guide: EDI Trading Partner Information

Instructions related to transactions based on ASC X12 Implementation Guides, version 005010.

### Preface

Companion Guides (CG) may contain two types of data, instructions for electronic communications with the publishing entity (Trading Partner Information) and supplemental information for creating transactions for the publishing entity while ensuring compliance with the associated ASC X12 Implementation Guide (IG) (Transaction Instructions). Either the Trading Partner Information component or the Transaction Instruction component must be included in every CG. The components may be published as separate documents or as a single document.

The Trading Partner Information component is included in the CG when the publishing entity wants to convey the information needed to commence and maintain communication exchange.

The Transaction Instruction component is included in the CG when the publishing entity wants to clarify the IG instructions for submission of specific electronic transactions. The Transaction Instruction component content is limited by ASCX12's copyrights and Fair Use statement.

---

This template is Copyright © 2011 by The Workgroup for Electronic Data Interchange (WEDI) and the Data Interchange Standards Association (DISA), on behalf of the Accredited Standards Committee (ASC) X12. All rights reserved. It may be freely redistributed in its entirety provided that this copyright notice is not removed. It may not be sold for profit or used in commercial documents without the written permission of the copyright holder. This document is provided "as is" without any express or implied warranty. Note that the copyright on the underlying ASC X12 Standards is held by DISA on behalf of ASC X12.

This Companion Guide was modified by the Central California Alliance for Health for Alliance-specific purposes.

## Table of Contents

<b>1</b>	<b>INTRODUCTION .....</b>	<b>3</b>
1.1	PURPOSE .....	3
1.2	SCOPE.....	3
1.3	OVERVIEW .....	3
1.4	REFERENCES .....	4
1.5	ADDITIONAL INFORMATION .....	4
<b>2</b>	<b>GETTING STARTED.....</b>	<b>4</b>
2.1	WORKING TOGETHER .....	4
2.2	TRADING PARTNER REGISTRATION .....	4
2.3	TRADING PARTNER TESTING PROCESS .....	5
<b>3</b>	<b>TESTING AND CERTIFICATION REQUIREMENTS .....</b>	<b>5</b>
3.1	TESTING REQUIREMENTS.....	5
3.1.1	Testing Requirements for 837 .....	5
3.1.2	Testing Requirements for 835 .....	6
3.2	CERTIFICATION REQUIREMENTS .....	6
<b>4</b>	<b>CONNECTIVITY AND COMMUNICATIONS .....</b>	<b>6</b>
4.1	PROCESS FLOWS.....	6
4.2	TRANSMISSION ADMINISTRATIVE PROCEDURES .....	7
4.3	RE-TRANSMISSION PROCEDURES.....	8
4.4	COMMUNICATION AND SECURITY PROTOCOLS .....	8
<b>5</b>	<b>CONTACT INFORMATION.....</b>	<b>8</b>
5.1	EDI CUSTOMER SERVICE AND TECHNICAL ASSISTANCE .....	8
5.2	ADDITIONAL REFERENCE INFORMATION .....	8
<b>6</b>	<b>CONTROL SEGMENTS AND ENVELOPES.....</b>	<b>9</b>
6.1	ISA-IEA.....	9
6.2	GS-GE.....	9
6.3	ST-SE .....	9
<b>7</b>	<b>ACKNOWLEDGEMENTS AND REPORTS .....</b>	<b>9</b>
7.1	ASC X12 ACKNOWLEDGMENTS.....	9
7.2	REPORT INVENTORY .....	10
<b>8</b>	<b>ADDITIONAL TRADING PARTNER INFORMATION .....</b>	<b>10</b>
8.1	IMPLEMENTATION CHECKLIST .....	10
8.2	TRANSMISSION EXAMPLES .....	10
8.3	EDI CLAIMS ENROLLMENT FORM .....	10
<b>9</b>	<b>CHANGE SUMMARY.....</b>	<b>11</b>

# 1 Introduction

## 1.1 Purpose

This document is intended to provide information necessary to exchange Electronic Data Interchange (EDI) data with Central California Alliance for Health (the Alliance). This includes information about registration, testing, support, and specific information about control record setup.

## 1.2 Scope

This document provides instructions for providers to connect with a vendor (e.g., software provider, clearinghouse, etc.) who would like to send HIPAA transactions to the Alliance. This document should be used in conjunction with information that is provided in Section 1.4, “References” below.

## 1.3 Overview

- Section 2, “Getting Started” provides details for initial registration and contact with the Alliance to start an EDI relationship, and is the starting point for any such relationship.
- Section 3, “Testing and Certification Requirements” identifies the testing and certification requirements of the Alliance that must be completed in order to validate the data compliance and interoperability of the provider, vendor or clearinghouse with the Alliance.
- Section 4, “Connectivity and Communications” provides technical information on the communications capabilities of the Alliance must be matched in order to provide a secure and reliable venue for transfer of sensitive health care transaction information. These will be used during testing to validate communications and business content compatibility.
- Section 5, “Contact Information” provides a single source for EDI contact information, whether it be business or technical in nature.
- Section 6, “Control Segments and Envelopes” provides technical information for the contents and usage of the EDI envelopes as supported by the Alliance.
- Section 7, “Acknowledgements and Reports” identifies the acknowledgements supported by the Alliance for the various EDI communications and what the provider, vendor or clearinghouse can expect as responses in real-time and batch modes of operation.
- Section 8, “Additional Trading Partner Information” includes the EDI Claims Enrollment Form that establishes the EDI relationship between the Alliance and all trading partners.

Together, these sections provide the business and technical relationship information that permit providers and the Alliance to conduct business electronically.

## 1.4 References

- For more information about EDI transactions, EDI request forms, and EDI Companion Guides, see the Alliance Claims Information webpage:  
<https://thealliance.health/for-providers/resources/claims/>
- For information pertaining to the ASC X12 Standards for Electronic Data Interchange, see the ASC X12 website: <http://store.x12.org/store/>

## 1.5 Additional Information

There is no additional information provided in this section at this time.

# 2 Getting Started

## 2.1 Working Together

If you would like to setup an EDI account, please familiarize yourself with the Claims Information page of the Alliance website: <https://thealliance.health/for-providers/resources/claims/>

For further details and any questions that you might have, please contact the EDI Support Team:

- Email: [edisupport@ccah-alliance.org](mailto:edisupport@ccah-alliance.org)
- Phone: 1-800-700-3874 ext. 5510

## 2.2 Trading Partner Registration

An EDI Trading Partner is any entity (provider, billing service, software vendor, employer group, financial institution, etc.) that transmits electronic data to or receives electronic data from the Alliance. Every provider can submit claims directly or can use a vendor or clearinghouse of their choosing. To get started, please review and fill out the EDI Claims Enrollment Form on the Alliance Claims Information webpage (<https://thealliance.health/for-providers/resources/claims/>):

- <https://thealliance.health/for-providers/resources/claims/edi-claims-enrollment-form-online/> (online form)
- <https://thealliance.health/wp-content/uploads/EDI-Claims-Enrollment-Form.pdf> (PDF)  
(Email to [edisupport@ccah-alliance.org](mailto:edisupport@ccah-alliance.org) or fax to 831-430-5895, ATTN: EDI Analyst)

## 2.3 Trading Partner Testing Process

The Alliance requires that all providers/vendors establish an EDI relationship with the Alliance by submitting requests using the Alliances forms. Providers/vendors that will communicate directly with the Alliance (that is, not use the supported clearinghouses) must also go through a testing phase before they can submit “live” claims for payment. Below is an overview of the testing process:

1. Contact an EDI Analyst (1-800-700-3874 ext. 5510), your Provider Services Representative, or submit an [EDI Claims Enrollment Form](#).
2. Once the EDI Claims Enrollment Form is accepted and finalized, providers/vendors using the supported clearinghouses may begin to submit transactions.
3. Providers not using an approved clearinghouse must send test files via Secure File Transfer Protocol (SFTP).
4. If test files are submitted via SFTP, three consecutive tests must pass all Alliance edits to receive an acceptance into “live” submissions. Please refer to Section 3, “Testing and Certification Requirements” for more detailed instructions.

## 3 Testing and Certification Requirements

### 3.1 Testing Requirements

The Alliance requires that providers/vendors doing direct 837 submission go through a claim specific testing phase before “live” claims can be submitted for payment. Testing is not required for eligibility, claim status or remittance advice transactions, but is available if desired by the provider.

#### 3.1.1 Testing Requirements for 837

Below is the technical detail of the testing process for the 837:

1. The provider has submitted an [EDI Claims Enrollment Form](#).
2. The Alliance has verified the following provider information in our database:  
Full Name, Phone Number, and NPI Number.
3. The Alliance has created a provider folder location on the server.
4. The Alliance has acknowledged the SFTP set-up.
5. The provider has established a username and password for SFTP login.
6. The provider has determined which 837 file type (Institutional or Professional) to submit and a unique Trading Partner ID.

7. The Alliance has documentation of three separate test files received from the provider. It is required that each test file contain a maximum of 25 claims.
8. Once a provider has submitted three consecutive successful tests, the Alliance communicates a go-live date to the provider. Failed tests will be identified to the provider via the acknowledgement process detailed in Section 7, "Acknowledgements and Reports."

### 3.1.2 Testing Requirements for 835

Below is the technical detail of the testing process for the 835:

1. The provider has submitted an [EDI Claims Enrollment Form](#).
2. There are no testing requirements for the 835 unless specified by the provider and agreed to by the Alliance.

## 3.2 Certification Requirements

The Alliance does not have certification requirements.

# 4 Connectivity and Communications

## 4.1 Process Flows

Once the Alliance receives the [EDI Claims Enrollment Form](#), the connectivity and communication process can begin:

1. The Alliance has communicated to the provider about electronic file exchange via SFTP (refer to Section 4.4, "Communication and Security Protocols").
2. The Alliance creates an FTP folder with the following folder structure:  
IN, OUT, TEST\IN, and TEST\OUT
  - For Testing (refer to Section 3.1, "Testing Requirements"), use the TEST\IN and TEST\OUT folders.
  - For Production, use the IN and OUT folders.
3. The Alliance acknowledges to the provider the SFTP set-up via email.
4. The provider establishes a username and password for SFTP logon. The provider must email the selected user name to the Alliance. The provider must keep and maintain the selected password.
5. The provider acknowledges to the Alliance via email the ability to log in and view the SFTP folder structure.

## 4.2 Transmission Administrative Procedures

Submitting and receiving 5010 EDI files (837 and 835) depends upon whether the provider is in Test or Production mode.

For Testing:

1. Submit your 5010 837 test files to the TEST\IN folder.
2. Pick up your 5010 999 confirmation file from the TEST\OUT folder.
  - The file naming convention includes “999”, the date, and the submitted 837 file name.
  - With the adjudication system that the Alliance implemented in October 2016, 999 acknowledgement files will be handled in the following manner:
    - If a single claim fails validation in a submitted file batch with multiple claims in an 837 EDI transaction that contains corresponding STs and SEs for each claim, you will receive a single 999 file back with a “P” in the AK9\*P\* (partially accepted) segment. The rest of the accepted claims will route through the system and you will only need to resubmit the claim that failed.
    - If only one ST and SE is submitted within a file of multiple claims and one claim is rejected, the entire file will be rejected (AK9\*R\*).
3. Pick up your 5010 835 RA test file from the TEST\OUT folder.
  - The file naming convention includes “835” and the date.

For Production:

1. Submit your 5010 837 production files to the IN folder.
2. Pick up your 5010 999 acknowledgement file from the OUT folder.
  - The 999 file for 5010 uses the following naming convention:  
<tradedpartner>\_<date as YYYYMMDD>\_<sequence number>\_  
<original filename>\_999.txt
    - Example: P012345\_20120108\_1\_CCAHFILE.01\_999.txt
3. Pick up your 5010 835 RA production file from the OUT folder.
  - The 835 file for 5010 uses the following naming convention:  
<tradedpartner>\_<date as MMDDYYYY>\_<time as HHMMSSSS>\_835.txt
    - Example: P012345\_01032012\_135018377\_835.txt

### 4.3 Re-Transmission Procedures

For Testing, if a submitted 5010 837 test file fails compliance, please address the errors referenced in the 5010 999 confirmation file and resubmit the test file in the TEST\IN folder.

For Production, if a submitted 5010 837 production file fails compliance, please address the errors referenced in the 5010 999 confirmation file and resubmit the production file in the IN folder.

### 4.4 Communication and Security Protocols

Providers with their own SFTP software can access our shared SFTP folders by using the following:

- Server Address: [sftp.ccah-alliance.org](https://sftp.ccah-alliance.org)
- Port: 22

Providers who do not already have their own SFTP software can download free software from the internet, such as the following:

- FileZilla - <https://filezilla-project.org/download.php?type=client>
- SecureFX – <https://www.vandyke.com/products/securefx/>

## 5 Contact Information

### 5.1 EDI Customer Service and Technical Assistance

For further details or any questions that you may have, please contact the EDI Support Team:

- Email: [edisupport@ccah-alliance.org](mailto:edisupport@ccah-alliance.org)
- Phone: 1-800-700-3874 ext. 5510

### 5.2 Additional Reference Information

For EDI transaction information:

- EDI Companion Guide – Transaction Instruction: <https://thealliance.health/providers/resources/claims/edi-companion-guide-transaction-instruction/>
- Implementation Guides by Washington Publishing Company: <http://www.wpc-edi.com/>



For Information from other Alliance departments:

- Provider Services Department – See the “Contact Provider Services” sidebar on the Claims Information page: <https://thealliance.health/for-providers/resources/claims/>
- Claims Department – See the “For Providers” → “Claims” section of the Alliance Contact Us page: <https://thealliance.health/about-the-alliance/contact-us/>

## 6 Control Segments and Envelopes

### 6.1 ISA-IEA

Expected values for some of the interchange control segments where the provider is the sender and the Alliance is the receiver are listed below. Segment values not mentioned below must follow what is outlined in the ASC X12 Standards Guide.

- The Authorization Information Qualifier is 00.
- The Security Information Qualifier is 00.
- The Interchange Sender ID is the Provider Trade Partner ID.
- The Alliance’s Interchange Receiver ID is 770395311 (Alliance Tax ID).

### 6.2 GS-GE

Expected values for some of the interchange control segments where the provider is the sender and the Alliance is the receiver are listed below. Segment values not mentioned below must follow what is outlined in the ASC X12 Standards Guide.

- The Application Sender’s Code is the Provider Trade Partner ID (GS02 & ISA06 must match).
- The Alliance’s Application Receiver’s Code is 770395311 (GS03 & ISA06 must match).

### 6.3 ST-SE

The transaction set control number must follow what is outlined in the ASC X12 Standards Guide. There are no expected values for the transaction set control number segments.

## 7 Acknowledgements and Reports

### 7.1 ASC X12 Acknowledgments

The ASC X12 Implementation Acknowledgement 999 is a type of transaction that confirms the receipt of an 837 and indicates if the 837 passed compliance (accepted) or failed compliance (rejected). The

999 response to an 837 is made available in the appropriate directory (OUT – Production, TEST\OUT – Test). The Alliance will always respond to an 837 with a 999.

With the adjudication system that the Alliance implemented in October 2016, 999 acknowledgement files are handled in the following manner:

- If a single claim fails validation in a submitted file batch with multiple claims in an 837 EDI transaction that contains corresponding STs and SEs for each claim, **you will receive a single 999 file back with a “P” in the AK9\*P\* (partially accepted) segment.** The rest of the accepted claims will route through the system, and **you will only need to resubmit the claim that failed.**
- If only one ST and SE is submitted within a file of multiple claims and one claim is rejected, the entire file will be rejected (AK9\*R\*).

## 7.2 Report Inventory

The Alliance does not send any proprietary non X12 acknowledgements or hard-copy reports.

# 8 Additional Trading Partner Information

## 8.1 Implementation Checklist

An implementation checklist is not provided in this section, as the information is listed in Section 3, “Testing and Certification Requirements” and Section 4, “Connectivity and Communications.”

## 8.2 Transmission Examples

No examples are provided in this section.

## 8.3 EDI Claims Enrollment Form

The [EDI Claims Enrollment Form](#) ensures the integrity of the electronic transaction process with an EDI Trading Partner. The form relates to the electronic exchange of information, whether the form is an entity or a part of a larger agreement, between each party.

The Alliance defines an EDI Trading Partner as any entity (provider, billing service, software vendor, employer group, financial institution, etc.) that transmits electronic data to or receives electronic data from the Alliance.

## 9 Change Summary

The table below describes the updates to this Companion Guide.

Version	Date	Description of Changes
1.0	12/20/2011	Initial publication
2.0	01/18/2012	Section 3 and 8.4: Clarified 835 testing requirements
3.0	02/16/2012	Section 5: Updated email address in contact info
4.0	08/13/2012	Section 8: Updated FAQ
5.0	09/09/2016	Section 6.2 and 7.1: Updated GS/ISA segments; 999 acknowledgement file
5.1	05/08/2019	Section 5.3: Updated the Washington Publishing Company URL and fixed outdated link to the "About EDI Transactions" document Throughout: Fixed broken links to and the name of the EDI Claims Enrollment Form
6.0	11/20/2020	Reformatted for branding
6.1	10/15/2024	Updated links throughout; added new links to SFTP software; updated contact information