thrivePCI

COURSE 05

# Assessment Preparation

A clearer handover into the engagement



Release 0.1.7+20 261 120T222 000Z | Draft for review

# Learning objectives

**01**

Distinguish preparation from assessment validation

**02**

Describe an actionable gap

**03**

Prepare a handover with visible dependencies



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# Preparation and validation

01

Preparation develops accurate inputs and resolves gaps

02

Assessment evaluates the presented information

03

Engagement scope defines the contracted services



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# A preparation responsibility map

Questions need the right responsible party
An agreed handover reduces avoidable reconstruction

| Question | Preparation route |
| --- | --- |
| How does our environment operate? | Entity’s business and technical owners |
| How do we organize or remediate a gap? | Entity and engaged readiness partner |
| What does the provider perform? | Provider and entity vendor owner |
| Which reporting instructions apply? | Relevant compliance-accepting organization |



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# An actionable preparation gap

**01**

Describe the missing or inconsistent support

**02**

Identify the effect on the planned submission

**03**

Assign investigation and a review point



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# A working gap register

Internal states describe work in progress
They do not replace formal assessment responses

| Field | Meaning in preparation |
| --- | --- |
| Gap statement | Specific missing or inconsistent support |
| Owner and output | Who investigates and what they return |
| Internal work state | Progress of the preparation activity |
| Dependency and review point | What must happen before the next decision |



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# Scope and reporting questions

**01**

The entity has a scoping confirmation duty

**02**

Reporting requirements come from the applicable program

**03**

Preparation must preserve unresolved decisions



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# A useful assessment handover

Current environment and service descriptions
Evidence index and responsible contacts
Open gaps and documented decisions

| Handover component | What it helps the reviewer understand |
| --- | --- |
| Current environment records | What arrangement is being presented |
| Evidence index and versions | Where the relevant support can be found |
| Responsible contacts | Who can explain the activities |
| Open gap and decision register | What remains unresolved and who owns it |



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# Practice scenario

01

The assessment is scheduled

02

The scope record predates a service change

03

A provider question and two evidence gaps remain open



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# Scenario debrief

The calendar does not resolve missing support
The handover needs an honest account of the gaps

| Open matter | Next preparation action |
| --- | --- |
| Service change and scope record | Entity owner reviews and confirms the current position |
| Provider responsibility question | Vendor owner obtains relevant clarification |
| Missing supporting material | Activity owners investigate authentic evidence |
| Engagement dependency | Program lead communicates the factual status |



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# Knowledge check

## Which statement best describes a handover?

A. It guarantees the assessment will pass

B. It replaces the report template

**C. It organizes current facts, evidence and unresolved items**

D. It grants a required remediation round



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# Answer and explanation

**01**

C is the supported answer

**02**

The report, testing and engagement requirements remain separate



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# Your assessment preparation brief

01

Describe the current factual state

02

Link available evidence and accountable contacts

03

Separate open gaps from documented decisions



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# Sources and course boundary

**PCI DSS v4.0.1: sections 4, 9, 10 and 11**

Requirements 12.5.2, 12.5.2.1 and 12.8.5

Practitioner gap and handover formats

**Educational guidance. No compliance guarantee.**



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# Current standard and assessment timing

## The phase-in has elapsed

Requirements and specified bullets previously phased in on March 31, 2025 are effective. Apply their entity, technology and other applicability conditions.

## Use the current successors

6.4.1  6.4.2 | 8.3.10  8.3.10.1 | 10.7.1  10.7.2. The superseded requirements are N/A for current reporting; retain them only for historical context.

## Keep timing and evidence distinct

An effective date does not create a recurring control interval or an evidence freshness limit. Use the applicable requirement and testing procedures to establish those obligations.

Source: PCI DSS v4.0.1; PCI SSC FAQs 1593 and 1176. Source checked November 21, 2026.

PCI DSS v4.0.1 / corpus 1.1.0+20261121T170000Z