

GOVERNANCE DOCS

HACCP (Codex CXC 1-1969)

Gap Assessment Report

HACCP and Good Hygiene Practices under Codex Alimentarius CXC 1-1969

Golden Crust Bakeries (sample)

Food safety for the central bakery and its deliveries to 18 retail outlets.

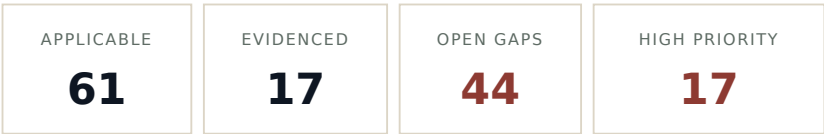
ASSESSED	25 September 2026
EDITION	CXC 1-1969, General Principles of Food Hygiene, Rev. 2022
IN SCOPE	61 requirements, 61 applicable
PROFILE	Hospitality and food · 10 to 49 people
PREPARED BY	Governance Docs

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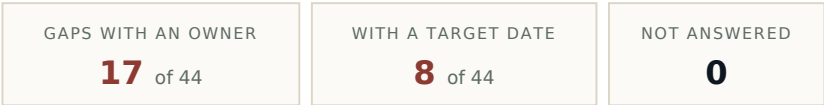
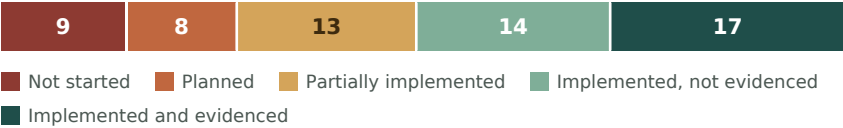
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Confidential. Prepared for Golden Crust Bakeries (sample) from its own self-assessment; not independently verified by Governance Docs (see section A). Share on a need-to-know basis.

Where Golden Crust Bakeries (sample) stands against HACCP



STATUS OF EVERY REQUIREMENT



WHAT THIS ASSESSMENT TELLS YOU

- Overall readiness is 59.0% against HACCP across 61 applicable controls. 17 of them are implemented and evidenced.
- Most open gaps: Prerequisites - control of operation, with 9 at 38%. Strongest area: Prerequisites - product information, traceability and transport at 96%.
- 14 controls are operating but not evidenced. Collecting their records alone lifts the score to 64.8% (+5.8 points), the cheapest gain available.
- 17 gaps are high priority (not started or only planned); 5 of them are in Prerequisites - control of operation.

DO THESE FIRST

	PRIORITY	ACTION	OWNER	START FROM
1	HIGH	Put an owner and date against the 5 high-priority gaps in Prerequisites - control of operation	IT Manager	OPRP Monitoring Plan
2	MEDIUM	Adopt and tailor the Process Control, which closes 6 open gaps	To assign	Process Control
3	LOW	Evidence the 14 controls that already operate (+5.8 points)	To assign	Records the controls already produce

Analysis and priorities

IN ONE SENTENCE

Your food safety system scores 59% at the Developing level; focus immediately on foundational cleaning and operational control procedures.

AI-assisted analysis, generated from the information the organization provided and checked automatically against the scores and findings in this report. It supports planning and is not an audit opinion; see "Basis of this report and limitation of liability".

FOR SENIOR MANAGEMENT AND THE BOARD

Our self-assessment against HACCP shows an overall score of 59%, placing us at level 2 of 4, defined as Developing. We have 44 open gaps, of which 17 are high priority, mainly across sanitation, facility maintenance, and operational control. This leaves us exposed to operational lapses and external audit findings. Management must assign clear ownership and deadlines across all open gaps, while providing operational teams the resources needed to document existing practices and formalize cleaning controls.

WHERE YOU STAND

The self-assessment places your food safety program at the Developing readiness level, which is level 2 of 4, with an overall score of 59%. Out of 61 applicable requirements, you face 44 open gaps, including 17 high-priority gaps. While 17 requirements are implemented and evidenced, 14 are implemented without evidence, 13 are partially implemented, 8 are planned, and 9 are not started. The lowest performing areas are cleaning, pest control and maintenance at 29.2% and control of operation at 37.5%.

WHAT IT MEANS FOR THE ORGANIZATION

A developing score indicates that your food hygiene framework is active but retains material gaps an external auditor would identify. You lack documented evidence across 14 implemented controls, leaving substantial operational risk unverified. Furthermore, critical operational controls and maintenance routines remain unstarted or partially implemented. Only 17 gaps currently have assigned owners, and just 8 possess target completion dates. Without formal governance and verified documentation, core food handling processes remain vulnerable to compliance failures and sanitation breakdowns.

WHERE TO FOCUS FIRST

Your primary effort should target closing basic prerequisite gaps in cleaning, pest control, and maintenance before addressing advanced HACCP steps. Immediate action is also required to verify and document the 14 controls that are already operational, which alone lifts your score to 64.8%. Next, formalize operational controls such as process steps and cleaning verification. Resolving unstarted prerequisites establishes the necessary hygienic foundation, preparing the organization to tackle critical control points and complete flow diagrams systematically across operations.

1 · EXECUTIVE SUMMARY

PRIORITIES

PRIORITY	WHY IT MATTERS	FIRST STEP	START FROM	WITHIN
1 Establish cleaning methods and maintenance monitoring procedures GHP 5.1.1 Maintenance and cleaning · GHP 5.1.2 Cleaning and disinfection methods	Unstandardized sanitation and maintenance create direct contamination risks during food handling. Establishing verified procedures prevents hygiene failures and satisfies core prerequisite requirements.	Draft standardized cleaning schedules and maintenance logs using the facility maintenance documentation.	Plant and Facility Maintenance HACCP Toolkit - Comprehensive 30+ Templates	30 DAYS
2 Formalize operational controls and process step monitoring GHP 7.1.4-7.1.5 Monitoring, corrective action and verification of GHPs · GHP 7.2.2 Specific process steps	Operating without verified process controls increases the likelihood of critical food hazards escaping detection. Standardizing specifications ensures consistent operational hygiene across all production activities.	Review complete process steps and draft operational control procedures for daily operations.	Process Control HACCP Toolkit - Comprehensive 30+ Templates	60 DAYS
3 Complete process flow diagrams and critical control points Step 4 Flow diagram · Principle 2 Determine critical control points	Missing flow diagrams and critical control points undermines the entire hazard analysis structure. Clarifying these control points ensures hazards are managed before food reaches consumers.	Map the production flow diagram on site and assemble the hazard analysis worksheet.	Complete HACCP Process steps HACCP Toolkit - Comprehensive 30+ Templates	90 DAYS
4 Define management safety commitment and emergency response plans MGMT-1 Management commitment and policy · MGMT-3 Emergency preparedness	Lacking formal management commitment and emergency plans leaves teams unprepared for contamination events or recalls. Clear executive accountability ensures resources are allocated to maintain food safety.	Draft the food safety policy statement and outline emergency response escalation paths.	HACCP Policy Statement HACCP Toolkit - Comprehensive 30+ Templates	60 DAYS

30 / 60 / 90-DAY ROADMAP

FIRST 30 DAYS - Assign accountable owners and completion deadlines to all 44 open assessment gaps. - Gather records to evidence the 14 controls that are currently implemented without documentation. - Draft standardized cleaning schedules and equipment maintenance logs using maintenance templates.	DAYS 31 TO 60 - Establish formal procedures for process control, water quality, and raw material hazard management. - Publish the food safety policy statement and adopt the emergency response procedure. - Implement calibration routines for measuring devices and complete operational monitoring plans.	DAYS 61 TO 90 - Map and verify all process flow diagrams directly on site across production lines. - Complete hazard analysis worksheets and determine critical control points across operations. - Validate corrective action documentation and operational limits registers for critical points.
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Maturity across the standard

Each bar shows how the requirements in one area break down by status, weakest on the left. The score is the average across applicable requirements; the chips count open gaps by priority.

AREAS	STATUS MIX	SCORE	GAPS H · M · L
Prerequisites - premises, equipment and people		63%	
Prerequisites - cleaning, pest control and maintenance		29%	
Prerequisites - control of operation		38%	
Prerequisites - product information, traceability and transport		96%	
HACCP steps 1-5 - preparation		50%	
HACCP principles 1-3 - hazards, CCPs and limits		58%	
HACCP principles 4-7 - monitoring, action, validation and records		81%	
Management system, jurisdiction and certification		60%	

Not started
 Planned
 Partially implemented
 Implemented, not evidenced
 Implemented and evidenced

WHERE THE NEXT POINTS COME FROM

The score after each kind of work, cheapest first. Gold is what that step adds.

Today		59.0%
Evidence what already runs 14 requirements		64.8%
Finish what is partly in place 13 requirements		75.4%
Implement what is planned 8 requirements		85.2%
Start what has not begun 9 requirements		100.0%
		+5.8
		+10.6
		+9.8
		+14.8

DOCUMENTS THAT CLOSE THE MOST GAPS

Each bar counts the open gaps that name the document as the way to close them.

Process Control		6
Hazard Analysis of Raw, Packing and Product contact materials		5
Pre-Requisite Programme Manual		5
Complete HACCP Process steps		5
Plant and Facility Maintenance		4
Calibration and Verification		4

All of these are in the HACCP Toolkit (31 documents).

Every open gap, grouped by what has to happen next

Work from the top. Requirements not yet started or only planned are the ones a certification auditor reaches first; the last group already operates and needs only its records.

HIGH Not started · 9

Start from a documented baseline: adopt and tailor the document named below, then put it into operation.

Ref	Requirement	Area	Owner · target	Closes it
GHP 5.1.1	Maintenance and cleaning	Prerequisites - cleaning, pest control and maintenance	HR Manager 12 Nov 2026	Plant and Facility Maintenance
GHP 5.1.2	Cleaning and disinfection methods	Prerequisites - cleaning, pest control and maintenance	HR Manager	Process Control
GHP 5.1.3	Monitoring cleaning effectiveness	Prerequisites - cleaning, pest control and maintenance	To assign	Inspection Testing · Calibration and Verification
GHP 7.1.4-7.1.5	Monitoring, corrective action and verification of GHPs	Prerequisites - control of operation	Operations Manager	OPRP Monitoring Plan · OPRP Verification Plan
GHP 7.2.2	Specific process steps	Prerequisites - control of operation	To assign	Complete HACCP Process steps · Process Control
GHP 7.2.3-7.2.6	Specifications and contamination control	Prerequisites - control of operation	IT Manager 10 Dec 2026	Hazard Analysis of Raw, Packing and Product contact materials · Inspection Testing
GHP 7.2.9	Packaging	Prerequisites - control of operation	IT Manager 12 Nov 2026	Hazard Analysis of Raw, Packing and Product contact materials
Step 4	Flow diagram	HACCP steps 1-5 - preparation	IT Manager 29 Oct 2026	Complete HACCP Process steps
Principle 2	Determine critical control points	HACCP principles 1-3 - hazards, CCPs and limits	Operations Manager 29 Oct 2026	Complete HACCP Process steps · Hazard Analysis Worksheets

HIGH Planned · 8

Move from plan to implementation. Assign an owner and a date, then put the control into operation.

Ref	Requirement	Area	Owner · target	Closes it
GHP 2.3-2.4	Primary production handling, storage and cleaning	Prerequisites - premises, equipment and people	To assign	Handling of Product, Storage and Distribution

GHP 3.2	Facilities	Prerequisites - premises, equipment and people	To assign	Plant and Facility Maintenance · Process Control
GHP 7.3	Water	Prerequisites - control of operation	To assign	Process Control · Inspection Testing
Principle 3c	Operational limits	HACCP principles 1-3 - hazards, CCPs and limits	HR Manager 12 Nov 2026	Critical Limits Register · Process Control
Principle 6c	Reanalysis	HACCP principles 4-7 - monitoring, action, validation and records	To assign	HACCP Manual – Planning of Realization · Document Control
MGMT-1	Management commitment and policy	Management system, jurisdiction and certification	HR Manager	HACCP Policy Statement · HACCP Manual – Management Responsibility
MGMT-3	Emergency preparedness	Management system, jurisdiction and certification	Operations Manager	Procedure for Emergency Preparedness and Response
JUR-EU	European Union overlay	Management system, jurisdiction and certification	To assign	Identification and Traceability · Product Recall & Withdrawal Procedure

MEDIUM Partially implemented · 13

Extend the existing approach to the whole scope and apply it consistently, then evidence it.

Ref	Requirement	Area	Owner · target	Closes it
GHP 2.1-2.2	Primary production environment and hygienic production	Prerequisites - premises, equipment and people	To assign	Hazard Analysis of Raw, Packing and Product contact materials
GHP 3.1	Location and structure	Prerequisites - premises, equipment and people	Operations Manager	Plant and Facility Maintenance
GHP 5.2	Pest control	Prerequisites - cleaning, pest control and maintenance	To assign	Pre-Requisite Programme Manual
GHP 5-CAL	Calibration of measuring devices	Prerequisites - cleaning, pest control and maintenance	HR Manager	Calibration and Verification
GHP 7.1.1-7.1.2	Product and process description	Prerequisites - control of operation	IT Manager	Product Description Sheet · Complete HACCP Process steps
GHP 7.2.8	Incoming materials	Prerequisites - control of operation	To assign	Hazard Analysis of Raw, Packing and Product contact materials · Inspection Testing

Step 2	Describe product	HACCP steps 1-5 - preparation	Operations Manager 26 Nov 2026	Product Description Sheet
Step 3	Intended use and users	HACCP steps 1-5 - preparation	To assign	Intended Use & Target Consumer Statement
Step 5	On-site confirmation of the flow diagram	HACCP steps 1-5 - preparation	Operations Manager 4 Feb 2027	Complete HACCP Process steps · HACCP Audit Checklist
Principle 1	Hazard analysis and control measures	HACCP principles 1-3 - hazards, CCPs and limits	IT Manager	Hazard Analysis Worksheets · Hazard Analysis of Raw, Packing and Product contact materials
Principle 4b	Monitoring records are contemporaneous	HACCP principles 4-7 - monitoring, action, validation and records	To assign	CCP Monitoring Records
JUR-US	United States overlay	Management system, jurisdiction and certification	To assign	HACCP Manual General Requirements · Pre-Requisite Programme Manual
CERT-1	Certification scheme scope	Management system, jurisdiction and certification	HR Manager	Pre-Requisite Programme Manual

LOW Implemented, not evidenced · 14

Collect and file evidence an auditor can sample. The control is operating; what is missing is the record of it.

Ref	Requirement	Area	Owner · target	Closes it
GHP 3.3	Equipment	Prerequisites - premises, equipment and people	To assign	Plant and Facility Maintenance · Calibration and Verification
GHP 4	Training and competence	Prerequisites - premises, equipment and people	To assign	HACCP Training Records · HACCP Manual – Resource Management.doc
GHP 5.3	Waste management	Prerequisites - cleaning, pest control and maintenance	To assign	Pre-Requisite Programme Manual
GHP 7.1.3	Effectiveness of good hygiene practices	Prerequisites - control of operation	To assign	Pre-Requisite Programme Manual · HACCP Manual General Requirements
GHP 7.2.1	Time and temperature control	Prerequisites - control of operation	To assign	Process Control · CCP Monitoring Records
GHP 7.5	Recall and withdrawal	Prerequisites - product information, traceability and transport	To assign	Product Recall & Withdrawal Procedure

Step 1	HACCP team and scope	HACCP steps 1-5 - preparation	To assign	HACCP Manual – Management Responsibility · HACCP Training Records
Step 1-5 review	Reanalysis on change	HACCP steps 1-5 - preparation	To assign	Document Control · HACCP Manual – Planning of Realization
Principle 3b	Limits measurable in real time	HACCP principles 1-3 - hazards, CCPs and limits	To assign	CCP monitoring plan · Calibration and Verification
Principle 5	Corrective actions	HACCP principles 4-7 - monitoring, action, validation and records	To assign	Corrective Action Records · Procedure for Handling Non conforming products
Principle 5b	Deviation trend	HACCP principles 4-7 - monitoring, action, validation and records	To assign	Corrective Action Records
MGMT-2	Food safety culture	Management system, jurisdiction and certification	To assign	HACCP Manual – Management Responsibility · HACCP Training Records
JUR-US-TRACE	US traceability rule	Management system, jurisdiction and certification	To assign	Identification and Traceability
CERT-2	FSSC 22000 version	Management system, jurisdiction and certification	To assign	HACCP Manual General Requirements

How it was scored

STATUS WEIGHTS

Status	Weight	Meaning
■ Not started	0.00	No policy, process or activity exists for this requirement.
■ Planned	0.25	Approach agreed and scheduled, but nothing is in place yet.
■ Partially implemented	0.50	In place for part of the scope, or inconsistently applied.
■ Implemented, not evidenced	0.75	Operating as intended, but you could not prove it to an auditor today.
■ Implemented and evidenced	1.00	Operating as intended, with records an auditor can sample.
■ Not applicable	—	A justified exclusion. Removed from the score - record why in your notes.

READINESS LEVELS

1 • Initial (0%+)

Most requirements are not yet in place. Build the foundations before thinking about an audit.

2 • Developing (40%+)

The programme is under way, with material gaps an auditor would find.

3 • Established (65%+)

Most controls operate. Remaining work is closing specific gaps and evidencing what runs.

4 • Audit-ready (85%+)

Controls operate and are evidenced. Ready for an internal audit and a certification body.

WHAT THIS REPORT IS

BASIS OF THIS REPORT AND LIMITATION OF LIABILITY

This report is the output of a self-assessment. The scores, readiness levels, gaps, analysis and recommendations in this report are derived solely from the information entered by the organization, and have not been independently reviewed, verified, tested or audited by Governance Docs. Governance Docs did not conduct an independent assessment of the organization, its controls or its operations.

The accuracy and completeness of the results depend entirely on the accuracy and completeness of the information provided. Governance Docs gives no assurance, certification or audit opinion, and accepts no liability for any inaccuracy, omission or deviation arising from that information, or for any decision taken, or not taken, in reliance on this report.

The report, including any AI-assisted analysis, is provided for guidance and planning only. It does not constitute legal, regulatory or other professional advice, and it does not replace an independent assessment or a certification audit.

A control that is running but cannot be evidenced scores 0.75, not 1.00. Auditors sample records, not intentions. Closing that distance is usually the fastest route to a higher score.

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YOUR WORKBOOK

The Excel workbook that comes with this report follows the same sections and colours. Dashboard: sections 1 and 2, recalculated live. Assessment: every requirement; change a status and every score, chart and level updates. Remediation Plan: section 3, with owners, dates and progress since this report. How it was scored: this page.

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