

Chapter 5

Data security

5.3.1



FCTR contains the following additional material on data security:

- ■ **FCTR 6** summarises the findings of the *FSA*'s thematic review of Data security in Financial Services and includes guidance on:

Governance (■ **FCTR 6.3.1G**)

Training and awareness (■ **FCTR 6.3.2G**)

Staff recruitment and vetting (■ **FCTR 6.3.3G**)

Controls – access rights (■ **FCTR 6.3.4G**)

Controls – passwords and user accounts (■ **FCTR 6.3.5G**)

Controls – monitoring access to customer data (■ **FCTR 6.3.6G**)

Controls – data back-up (■ **FCTR 6.3.7G**)

Controls – access to the internet and email (■ **FCTR 6.3.8G**)

Controls – key-logging devices (■ **FCTR 6.3.9G**)

Controls – laptop (■ **FCTR 6.3.10G**)

Controls – portable media including USB devices and CDs (■ **FCTR 6.3.11G**)

Physical security (■ **FCTR 6.3.12G**)

Disposal of customer data (■ **FCTR 6.3.13G**)

Managing third party suppliers (■ **FCTR 6.3.14G**)

Internal audit and compliance monitoring (■ **FCTR 6.3.15G**)

- ■ **FCTR 10** summarises the findings of the Small Firms Financial Crime Review, and contains guidance directed at small firms on:

Records (■ **FCTR 10.3.5G**)

Responsibilities and risk assessments (■ **FCTR 10.3.7G**)

Access to systems (■ **FCTR 10.3.8G**)

Outsourcing (■ **FCTR 10.3.9G**)

Physical controls (■ **FCTR 10.3.10G**)

Data disposal (■ **FCTR 10.3.11G**)

Data compromise incidents (■ **FCTR 10.3.12G**)