



Report on Riverbed Technology LLC's Riverbed Platform Relevant to Security and Availability Throughout the Period October 1, 2023 to September 30, 2024

SOC 3® - SOC for Service Organizations: Trust Services Criteria for
General Use Report

The logo for Riverbed, featuring the word "riverbed" in a lowercase, sans-serif font. The letters are colored in a gradient from purple on the left to orange on the right.

riverbed

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Section 1

Independent Service Auditor's Report

Independent Service Auditor's Report

To: Riverbed Technology LLC ("Riverbed")

Scope

We have examined Riverbed's accompanying assertion titled "Assertion of Riverbed Technology LLC Management" (assertion) that the controls within the Riverbed Platform (system) were effective throughout the period October 1, 2023 to September 30, 2024, to provide reasonable assurance that Riverbed's service commitments and system requirements were achieved based on the trust services criteria relevant to security and availability (applicable trust services criteria) set forth in TSP Section 100, *2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy (With Revised Points of Focus—2022)* (2017 TSC).

Riverbed uses subservice organizations to provide data center colocation and database management services. The description of the boundaries of the system indicates that complementary subservice organization controls that are suitably designed and operating effectively are necessary, along with controls at Riverbed, to achieve Riverbed's service commitments and system requirements based on the applicable trust services criteria. The description of the boundaries of the system presents the types of complementary subservice organization controls assumed in the design of Riverbed's controls. Our examination did not include the services provided by the subservice organizations, and we have not evaluated the suitability of the design or operating effectiveness of such complementary subservice organization controls.

Service Organization's Responsibilities

Riverbed is responsible for its service commitments and system requirements and for designing, implementing, and operating effective controls within the system to provide reasonable assurance that Riverbed's service commitments and system requirements were achieved. Riverbed has also provided the accompanying assertion about the effectiveness of controls within the system. When preparing its assertion, Riverbed is responsible for selecting, and identifying in its assertion, the applicable trust services criteria and for having a reasonable basis for its assertion by performing an assessment of the effectiveness of the controls within the system.

Service Auditor's Responsibilities

Our responsibility is to express an opinion, based on our examination, on management's assertion that controls within the system were effective throughout the period to provide reasonable assurance that the service organization's service commitments and system requirements were achieved based on the applicable trust services criteria. Our examination was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants. Those standards require that we plan and perform our examination to obtain reasonable assurance about whether management's assertion is fairly stated, in all material respects. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion.

We are required to be independent and to meet our other ethical responsibilities in accordance with relevant ethical requirements relating to the engagement.

Our examination included:

- Obtaining an understanding of the system and the service organization’s service commitments and system requirements.
- Assessing the risks that controls were not effective to achieve Riverbed’s service commitments and system requirements based on the applicable trust services criteria.
- Performing procedures to obtain evidence about whether controls within the system were effective to achieve Riverbed’s service commitments and system requirements based on the applicable trust services criteria.

Our examination also included performing such other procedures as we considered necessary in the circumstances.

Inherent Limitations

There are inherent limitations in the effectiveness of any system of internal control, including the possibility of human error and the circumvention of controls.

Because of their nature, controls may not always operate effectively to provide reasonable assurance that the service organization’s service commitments and system requirements were achieved based on the applicable trust services criteria. Also, the projection to the future of any conclusions about the effectiveness of controls is subject to the risk that controls may become inadequate because of changes in conditions or that the degree of compliance with the policies or procedures may deteriorate.

Opinion

In our opinion, management’s assertion that the controls within the Riverbed Platform were effective throughout the period October 1, 2023 to September 30, 2024, to provide reasonable assurance that Riverbed’s service commitments and system requirements were achieved based on the applicable trust services criteria if complementary subservice organization controls assumed in the design of Riverbed’s controls operated effectively throughout that period is fairly stated, in all material respects.

Coalfire Controls LLC

Greenwood Village, Colorado
December 3, 2024

Section 2

Assertion of Riverbed Technology LLC Management

Assertion of Riverbed Technology LLC (“Riverbed”) Management

We are responsible for designing, implementing, operating and maintaining effective controls within the Riverbed Platform (system) throughout the period October 1, 2023 to September 30, 2024, to provide reasonable assurance that Riverbed’s service commitments and system requirements were achieved based on the trust services criteria relevant to security and availability (applicable trust services criteria) set forth in TSP Section 100, *2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy (With Revised Points of Focus—2022)* (2017 TSC). Our description of the boundaries of the system is presented in attachment A and identifies the aspects of the system covered by our assertion.

Riverbed uses subservice organizations for data center colocation and database management services. The description of the boundaries of the system indicates that complementary subservice organization controls that are suitably designed and operating effectively are necessary, along with controls at Riverbed, to achieve Riverbed’s service commitments and system requirements based on the applicable trust services criteria. The description of the boundaries of the system presents the types of complementary subservice organization controls assumed in the design of Riverbed’s controls. The description of the boundaries of the system does not disclose the actual controls at the subservice organizations.

We have performed an evaluation of the effectiveness of the controls within the system throughout the period October 1, 2023 to September 30, 2024, to provide reasonable assurance that Riverbed’s service commitments and system requirements were achieved based on the applicable trust services criteria if complementary subservice organization controls assumed in the design of Riverbed’s controls operated effectively throughout that period. Riverbed’s objectives for the system in applying the applicable trust services criteria are embodied in its service commitments and system requirements relevant to the applicable trust services criteria. The principal service commitments and system requirements related to the applicable trust services criteria are presented in attachment B.

There are inherent limitations in any system of internal control, including the possibility of human error and the circumvention of controls. Because of these inherent limitations, a service organization may achieve reasonable, but not absolute, assurance that its service commitments and system requirements are achieved.

We assert that the controls within the system were effective throughout the period October 1, 2023 to September 30, 2024 to provide reasonable assurance that Riverbed’s service commitments and system requirements were achieved based on the applicable trust services criteria.



Riverbed Technology LLC

Attachment A

Riverbed Technology LLC's Description of the Boundaries of Its Riverbed Platform

Type of Services Provided

Riverbed Technology LLC (“Riverbed” or “the Company”), founded in 2002, is an information technology (IT) company with software offerings that help customers transform data into actionable insights across their entire digital ecosystem. The Company’s Riverbed Aternity Digital Experience Management (DEM) software-as-a-service (SaaS) platform and its Riverbed IQ offering help customers prevent, identify, and resolve IT issues by collecting data from the entire IT landscape, analyzing and correlating this data, and leveraging artificial intelligence (AI) for automated remediations.

Riverbed Aternity DEM

Riverbed Aternity DEM helps enterprises manage the digital experience of their employees and customers by allowing companies to deliver digital experiences to all their users across all applications and devices. The platform comprises two modules: the End-User Experience Monitoring (EUEM) module and the Application Performance Monitoring (APM) module.

The EUEM module provides the ability to see the entire workforce experience on any application running on any device, providing a user-centric view that can augment network- and server-centric application performance management tools and transforming physical, virtual, and mobile devices into a self-monitoring platform.

The APM module provides continuous monitoring to help customers build high-performing applications, infrastructure, and networks on and off the cloud. The module allows customers to trace transactions and to capture system metrics in the development, test, and production environments. This gives the customer multiple perspectives into end users’ experience, application, network, and infrastructure performance, along with workflows for root cause analysis and problem discovery.

Riverbed NPM+

Riverbed NPM+ is a SaaS-delivered service that uses [Riverbed Unified Agent](#) to collect decrypted packet data at every user and server endpoint. It fills visibility gaps caused by encrypted tunnels in [Zero Trust](#), remote work, and cloud-native environments. Taking an agent-based deployment approach ensures flexibility, simplicity, and scalability. With this AI-driven Network Observability, Riverbed takes a revolutionary step towards faster issue detection and higher service availability.

Riverbed IQ

Riverbed IQ is a cloud-native, SaaS-delivered, open, and programmable solution for unified observability used to quickly identify and fix problems. It uses AI and machine learning (ML) to identify and correlate anomalies to determine the most business-impacting events. This intelligence also informs investigative runbooks that replicate the troubleshooting workflows of IT experts to gather added context, filter out noise, and set priorities, reducing the volume of alerts to those that most impact business.

The system description in this section of the report details Riverbed Aternity DEM and Riverbed IQ (collectively, the “Riverbed Platform”). Any other Company services are not within the scope of this report. The accompanying description includes only the policies, procedures, and control activities at the Company and does not include the policies, procedures, and control activities at any subservice organizations (see below for further discussion of the subservice organizations).

The Components of the System Used to Provide the Services

The boundaries of the Riverbed Platform are the specific aspects of the Company's infrastructure, software, people, procedures, and data necessary to provide its services and that directly support the services provided to customers. Any infrastructure, software, people, procedures, and data that indirectly support the services provided to customers are not included within the boundaries of the Riverbed Platform.

The components that directly support the services provided to customers are described in the subsections below.

Infrastructure

The Company utilizes a third-party cloud service provider to host Riverbed IQ. The Company leverages the experience and resources of the third-party cloud host provider to scale quickly and securely as necessary to meet current and future demand for each platform. However, the Company is responsible for designing and configuring the Riverbed Aternity DEM and Riverbed IQ architecture within the third-party cloud service provider to ensure the availability, security, and resiliency requirements are met.

The in-scope hosted infrastructure for Riverbed Aternity DEM and Riverbed IQ also consists of multiple supporting tools, as shown below:

Riverbed Aternity DEM

- Customer data storage
- On-demand compute environment
- Container management service

Riverbed IQ

- Customer data ingestion and transformation
- Customer data storage
- Distribution of static web application user interface (UI) assets
- Service monitoring, operations, and support

Software

Software consists of the programs and software that support the Riverbed Platform (operating systems [OSs], middleware, and utilities). The list of software and ancillary software used to build, support, secure, maintain, and monitor the Riverbed Platform include applications to support the following business functions:

- Application monitoring
- Backup and replication
- Security information and event management (SIEM), logging system
- Infrastructure monitoring
- Patch management
- Antivirus

- Web application firewall, distributed denial-of-service (DDoS) protection
- Help desk, ticketing system
- Data in transit optimization and aggregation
- Data storage

People

The Company develops, manages, and secures the Riverbed Platform via separate departments. The responsibilities of these departments are defined in the following table:

People	
Group/Role Name	Function
Executive Leadership	Responsible for overseeing Company-wide activities, establishing and accomplishing goals, and managing objectives.
Engineering (including DevOps)	Responsible for the development, testing, deployment, and maintenance of new code.
Information Security (InfoSec)	Responsible for managing access controls and the security of the production environment.
Product Management	Responsible for overseeing the product life cycle, including adding new product functionality.
Human Resources (HR)	Responsible for onboarding new personnel, defining the roles and positions of new hires, performing background checks, and facilitating the employee termination process.

Procedures

Procedures include the automated and manual procedures involved in the operation of the Riverbed Platform. Procedures are developed and documented by the respective teams for a variety of processes, including those relating to product management, engineering, technical operations, security, IT, and HR. These procedures are drafted in alignment with the overall information security policies and are reviewed, updated, and approved at least annually or as necessary for changes in the business.

Data

Data refers to transaction streams, files, data stores, tables, and output used or processed by the Company. Through the application programming interface (API) and web application user interface (Web UI), the customer or end-user defines and controls the data they load into and store in the Riverbed Platform production network. Once stored in the environment, the data is accessed remotely from customer systems via the Internet.

Customer data is managed, processed, and stored in accordance with relevant data protection and other applicable regulations and with specific requirements formally established in client contracts. The Company has deployed secure methods and protocols for the transmission of confidential or sensitive information over public networks. Encryption is enabled for databases housing sensitive customer data. Data in transit is also encrypted.

Subservice Organizations

The Company uses subservice organizations for data center colocation and database management services. The Company's controls related to the Riverbed Platform cover only a portion of the overall internal controls for each user entity of the Riverbed Platform. The description does not extend to the colocation services for IT infrastructure or database management services provided by the subservice organizations.

Although the subservice organizations have been carved out for the purposes of this report, certain service commitments, system requirements, and applicable criteria are intended to be met by controls at the subservice organizations. Controls are expected to be in place at the subservice organizations related to physical security and environmental protection, as well as backup, recovery, and redundancy controls related to availability. The subservice organizations' physical security controls should mitigate the risk of unauthorized access to the hosting facilities. The subservice organizations' environmental protection controls should mitigate the risk of fires, power loss, climate, and temperature variabilities. Controls are expected to be in place at the subservice organization related to backups, encryption, and secure data transmission. The subservice organization's controls should mitigate the risk of improper access to customer data and redundancy controls related to availability.

Company management receives and reviews the SOC 2 reports of the subservice organizations annually. In addition, through its operational activities, Company management monitors the services performed by the subservice organizations to determine whether operations and controls expected to be implemented are functioning effectively. Management also communicates with the subservice organizations to monitor compliance with the service agreements, stay informed of planned changes, and relay any issues or concerns to management of the subservice organizations.

Attachment B

Principal Service Commitments and System Requirements

Principal Service Commitments and System Requirements

Commitments are declarations made by management to customers regarding the performance of the Riverbed Platform. Commitments are communicated in service-level agreements, the Data Processing Addendum, and in the Corporate Information Security Measures.

System requirements are specifications regarding how the Riverbed Platform should function to meet the Company’s principal commitments to user entities. System requirements are specified in the Company’s Corporate and System Security Measures.

The Company’s principal service commitments and system requirements related to the Riverbed Platform include the following:

Trust Services Category	Service Commitments	System Requirements
Security	<ul style="list-style-type: none"> • Riverbed will maintain information security policies that establish and enforce its corporate security program. • Riverbed will ensure the encryption of personal data. • Riverbed will implement and maintain technical and organizational security measures to ensure the security of customer information. • Riverbed will respond, investigate, and remediate security issues when they are detected. 	<ul style="list-style-type: none"> • Logical access standards • Employee provisioning and deprovisioning standards • Access reviews • Encryption standards • Risk and vulnerability management standards • Configuration management standards • Incident handling standards • Change management standards • Vendor management
Availability	<ul style="list-style-type: none"> • Riverbed will ensure a production system uptime of 99.5%. 	<ul style="list-style-type: none"> • System monitoring • Backup and recovery standards