



Right people, strong culture, great work.

Welcome to the
Brock Group

Employee Handbook

December 2016

Welcome to The Brock Group!

Our company is built on shared values of respect and caring and a common desire to be “better every day.” These principles are embodied by Bsafe and Bbest.

Bsafe is our approach to making safety personal. As an extension of our culture of respect and caring, Bsafe is the embodiment of our relentless pursuit of, and overall commitment to, operational excellence.

Bbest is Brock’s culture of seeking the best possible ways to achieve our strategic goals and vision. Bbest brings together planning and accountability to ensure best practices go beyond sharing to become standard procedure throughout our organization across five key elements:

- Leading safety performance in our industry
- Building a strong team from many individuals
- Delivering the same performance excellence to all customers
- Creating a solid future for everyone who works at Brock
- Profitably growing revenue for all our stakeholders

My personal focus is doubling down on our employees to maintain our position as the best specialty craft team in the industry!

We’re pleased you’ve joined us and look to you to uphold our culture of respect and caring, and our focus on continuous improvement.

Bsafe and Bbest,

A handwritten signature in black ink, appearing to read 'Mike McGinnis', with a stylized, cursive script.

Mike McGinnis
Chairman and CEO

Introduction

This Employee Handbook is a reference and a summary of the policies, practices, and benefits related to employment with the Brock Group (which includes Brock Holdings I, LLC and all its current and future, wholly owned, direct and indirect, subsidiaries) hereinafter referred to as "Brock" or "the Company." It replaces and supersedes all previous Employee Handbooks, and in the event the terms herein conflict with any other policies and/or practices of the Company, the terms of the most current Employee Handbook and its updates shall prevail; except that where a Collective Bargaining Agreement exists, the terms of that Collective Bargaining Agreement shall prevail.

This Handbook is not a contract, expressed or implied, guaranteeing employment for any specific duration. The employment relationship between you and the Company is "at will." This means either you or the Company may terminate this relationship at any time, for any reason, with or without cause or notice. This "at-will" relationship remains in full force and effect, despite any opposing statements made by the Company and employees or representatives, or set forth in any other document except a duly authorized Employment Agreement or Collective Bargaining Agreement. No Employment Agreement shall be enforceable unless it is in writing and mutually agreed to by both the employee and the CEO of the Company or his designee.

Company policies, practices, and benefits will change from time to time. **Except with respect to the Dispute Resolution Policy referenced herein which is a mutually binding agreement** the Company retains full discretion to modify, revoke or change any of the provisions herein at any time.

The Company will not construe or apply this Handbook in a manner that interferes with or limits employees' rights under the National Labor Relations Act, or that violates any federal, state, or local laws.

Amendments to the Handbook and the most up-to-date version of the Handbook will be maintained on the Brock internal website.

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SECTION 1: OVERVIEW

1.01 – TERMS USED IN THE HANDBOOK

The following terms are used in the Handbook:

- The words "shall" or "will" should be interpreted as mandatory and the word "may" as permissive;
- The masculine gender should be interpreted to include the feminine gender and vice versa;
- "Supervisor" means an individual with the authority to assign, direct, and review the work of one or more subordinates;
- "Management" means the designated authorized personnel of the Company;

If there is any conflict between these policies and any applicable local, state, or federal law, then that law will prevail.

Any questions regarding the policies outlined in this Handbook should be addressed to your supervisor or the Human Resources Director assigned to your Business Unit.

1.02 - COMPLIANCE HOTLINE / BROCK ALERTLINE

The Company believes that employees should be able to raise questions or voice concerns directly or in a confidential or anonymous manner about workplace issues. This includes matters such as fraud, theft, substance abuse, conflicts of interest, threats or violence, harassment or discrimination, any safety or environmental violations, accounting irregularities, internal accounting control issues, auditing matters, and any other misconduct or violations of Brock policies.

Anyone aware of unethical, illegal, unsafe, or quality compromising activities or the potential for such activities may call the Brock AlertLine if that person:

- Feels uncomfortable reporting through normal channels of communication;
- Believes the situation is not being resolved;
- Wishes to raise the issue confidentially; and/or
- Is unsure about where to go with concerns.

The Company forbids retaliation or retribution against any employee who reports, in good faith, concerns about compliance with the law, company policies, misconduct or other ethical matters. Reported allegations will be investigated promptly by proper personnel and appropriate action will be taken. In accordance with the Company's investigation procedures, the Company will make every effort to maintain your confidentiality, subject to applicable law, rules, regulations or legal proceedings. You may be subject to disciplinary action for knowingly reporting false or misleading information.

Call the Brock AlertLine at: (877) 564-9622

Or logon at <https://brock.alertline.com>

SECTION 2: EMPLOYMENT

2.01 - EMPLOYEE CLASSIFICATIONS

The Company has adopted the following classifications in order to standardize terminology and provide common understanding in our references to our employees:

- Employee: A person who receives wages or salaries from the Company.
- Full-Time Employee: An employee who is scheduled to work a minimum of thirty (30) hours weekly and who maintains continuous, regular, employment status.
- Part-time Employee: An employee who is scheduled to work less than thirty (30) hours weekly, and who maintains continuous, regular, part-time status. Part-time employees may be eligible for limited benefits.
- Temporary Employee: An employee whose service is intended to be of limited duration (i.e., filling in for illness, vacations, summer months, peak periods). Temporary employees are not eligible for Company benefits.
- Non-exempt Employees: Employees who are not exempt from the provisions of the Fair Labor Standards Act (FLSA) and, therefore, are eligible for overtime pay rates. This typically includes hourly-paid employees.
- Exempt Employees: Those executive, administrative, professional, and sales employees who meet the Fair Labor Standards Act's requirements for exemption and, therefore, do not receive overtime payment. This typically includes salaried employees.

2.02 - CODE OF EMPLOYER/EMPLOYEE RELATIONS

It is the policy of the Company to implement fair and effective personnel policies and to require all employees to support the organization's best interests. As part of its commitment to providing customers with excellent services and fostering a culture of respect and caring, the Company expects all employees:

- To deal with customers and suppliers in a professional manner;
- To perform assigned tasks in an efficient manner;
- To be punctual and attend work as scheduled;
- To work in a cooperative manner with management, supervision, co-workers, customers, and vendors, and,
- To follow the policies and work rules adopted by the Company.

The Company retains the sole discretion to exercise all managerial functions, including, but not limited to, the rights:

- To hire, dismiss, assign, supervise, and discipline employees;
- To determine and change starting times, quitting times, and shifts;
- To transfer employees within departments or into other departments and other classifications;
- To determine and change the size and qualifications of the workforce;
- To determine and change methods by which operations are to be carried out;
- To determine and change the nature, location, goods produced, services rendered, quantity, and continued operation of the business; and
- To assign duties to employees in accordance with the Company's needs and requirements and to carry out administrative and management functions.

The Company respects the rights of employees to organize and bargain collectively with their employer and to engage in other protected concerted activity, as well as their right to refrain from engaging in this activity. Nothing in this policy is intended to prevent employees from engaging in protected concerted activity.

2.03 - EMPLOYMENT-AT-WILL POLICY

It is the policy of the Company that all employees are "at-will" employees except those who have an individualized, written employment contract specifying the term of employment and signed by the CEO of The Brock Group (or his designee for such purpose), or whose terms and conditions of employment are set forth in a written collective bargaining agreement between the Company and a representing union.

"At-will" employment means that the employee is free to terminate the employment relationship at any time, for any reason, or no reason at all, and that the Company reserves the right to terminate the employment relationship with or without cause and with or without notice.

No Company representative, with the exception of the CEO (or his designee) by written contract, is authorized to modify this policy for any employee or to enter into any agreement, oral or written, that changes the "at-will" relationship. Supervisory and management personnel have no authority to and may not make any representations to employees or applicants concerning the terms or conditions of employment with the Company that are not consistent with Company policies. No statements made in pre-hire interviews or discussions, or in recruiting materials of any kind, alter the "at-will" nature of employment or imply that discharge will occur only for cause.

2.04 - EQUAL EMPLOYMENT OPPORTUNITY

It is our policy to recruit, hire, train, and promote individuals, as well as administer all employment decisions, conditions of employment, and personnel actions, without regard to race, color, religion, age, sex, sexual orientation, national origin or ancestry, marital status, military or veteran status, disability, or other legally protected status, in accordance with applicable laws.

Any incident or situation that is believed to involve illegal discrimination should be brought to the immediate attention of the employee's supervisor and the Human Resource Manager for the assigned Business Unit, or reported through the Brock AlertLine.

All complaints of discrimination will be investigated promptly. Confidentiality will be maintained throughout the investigation to the extent practicable and appropriate under the circumstances. The Company prohibits any form of retaliation against employees for bringing forth good faith complaints or providing information about discrimination or violations of Company policy.

Americans With Disabilities Act Amendments Act of 2008 (ADAAA)

In addition, the Company is committed to complying with all applicable provisions of the Americans With Disabilities Act ("ADA") and its amendments ("ADAAA"). It is the Company's policy not to discriminate against any qualified employee or applicant with regard to any terms or conditions of employment because of such individual's disability or perceived disability so long as the employee can perform the essential functions of the job. Consistent with this policy of non-discrimination, the Company will provide reasonable accommodations to a qualified individual with a disability, as defined by the ADAAA, who has made the Company aware of his or her disability, provided that such accommodation does not constitute an undue hardship on the Company.

Employees with a disability who believe they need a reasonable accommodation to perform the essential functions of their job should contact the Human Resources Manager for their Business Unit. The Company encourages individuals with disabilities to come forward and request reasonable accommodation.

An employee or job applicant who has questions regarding this policy or believes that he or she has been discriminated against should notify the Human Resources Manager for their Business Unit. All such inquiries or complaints will be treated as confidential to the extent permissible by law.

2.05 - BACKGROUND CHECKS

The Company reserves the right to initiate background checks for prospective and current employees. The Company may use a third-party administrator to conduct background checks. The type of information that can be collected may include, but is not limited to, a criminal background check, education, employment history, credit, and professional and personal references. This process is conducted to verify the accuracy of the information provided by the candidate and to aid in the assessment of suitability for initial and continued employment. All background checks are conducted after an offer of employment (post-offer). Future or continuing employment may be contingent upon the results.

In any situation where a report from a background check is used, the report will not be the sole determining factor in regards to an applicant's or current employee's eligibility for employment or continued employment. Rather, each report will be reviewed on a case-by-case basis in order to provide an individual determination specific to the position, timing of prior convictions, and related circumstances specific to the individual. Employees should be aware that in many cases our customers establish the standards for background checks.

Any applicant who falsifies information to the Company at any time in the selection process may be subject to immediate termination or denied further consideration for employment.

2.06 - PERSONNEL RECORDS

It is the policy of the Company to maintain personnel records on applicants, employees, and past employees in order to document employment-related decisions and comply with government recordkeeping and reporting requirements. The Human Resources Department is responsible for overseeing recordkeeping for all personnel information and will specify what information should be collected and how it should be stored and secured.

Employees have a responsibility to keep their personnel records up to date and should notify their supervisor and Human Resources of any changes in the following:

- Full legal name;
- Current mailing address;
- Telephone number where you can be reached;
- Email address you would designate for any electronic communication;
- Marital status and number of dependents
 - At open enrollment for benefits, or
 - Within ten (10) days of a change in marital status and/or the number of dependents on IRS Form W-4;
- Beneficiary designations for any of the Company's health insurance, disability, or 401(k) plans;
- Names and phone numbers of people to be notified in case of emergency;
- Direct deposit information for payroll;
- Notification of any change in employment authorization or immigration status.

Personnel records are considered property of the Company. The Company will comply with local or state law when permitting an employee to inspect his or her own personnel files. Such inspections shall generally occur during regular office hours. Requests for inspection of personnel records should be scheduled with the Human Resources Department at a time that is convenient for all parties.

Records that are considered to contain sensitive or confidential information may be excluded from the inspection, and all inspections must be conducted in the presence of a designated member of the Human Resources Department. Management, supervisors and Human Resource staff may inspect certain employee files, only on an employment-related, need-to-know basis.

Employees who believe that any material enclosed in their file is incomplete, inaccurate, or irrelevant may place a written statement of disagreement in the file and/or make a complaint using the Employee Grievance policy in Section 8.01.

2.07 – VERIFICATION OF EMPLOYMENT

All requests for references from other companies concerning applicants, employees, and past employees must be submitted to the Human Resources Department. Limited general information will be released to authorized verifiers to include only the following: (a) job title, (b) total time with the company, and/or (c) start date and termination date.

The Human Resources Department normally will release additional, limited employee information only in writing and only after obtaining the written consent of the employee or former employee. Exceptions may be made to cooperate with legal, safety, and medical officials who need specific employee information.

For assistance with any questions about Verification of Employment, contact the Human Resources Manager responsible for your Business Unit.

2.08 - HOURS OF WORK

It is the policy of the Company to establish the time and duration of working hours as required by work load, production flow, customer service needs, the efficient management of human resources, and any applicable law.

The schedule of hours for employees will be determined by the manager of each site, location, or department. The supervisor will inform employees of their daily schedule of hours of work, including meal periods and breaks, and of any changes that are considered necessary or desirable by the Company.

Supervisors will assign overtime to non-exempt employees as needed. Employees are not permitted to work overtime without the prior approval of their supervisor. For the purposes of overtime compensation, hours actually worked in excess of forty (40) hours during a work week will be counted, unless this rule is superseded by statute.

Management has the right to determine whether overtime is necessary, and, in the absence of contract language to the contrary, employees may be asked to work a reasonable amount of overtime. Refusal to work required overtime may lead to disciplinary action, up to and including termination. Supervisors are encouraged to provide as much advance notice as possible in the event of extended hours on a single shift, or the need for overtime hours over an extended period. In the event of conflicts, employees are encouraged to work with their supervisor to help meet Company requirements.

Job-Related Training

When employee attendance at lectures, meetings, and training programs is required by management, that time will be considered hours worked and, therefore, will be compensated. Employees who have any questions as to whether certain training time is compensable should contact their Human Resources Manager.

Time Records

Non-exempt employees must accurately report all hours worked daily. Falsifying any time record is prohibited and may be grounds for disciplinary action, up to and including termination.

Personnel employed in executive, professional, outside sales or certain computer-related capacities generally are exempt from the provisions of the Fair Labor Standards Act (FLSA). These exempt employees should not fill out hourly time records, but must be accountable for daily attendance. In addition, exempt employees will generally not receive overtime compensation.

2.09 - MEALS AND REST PERIODS

Meal Breaks

It is the policy of the Company to provide meal breaks during the course of each work day. The duration of meal breaks may vary from one location to another, but generally, full-time employees will be allowed a meal break near the middle of the work day or shift.

As a general rule, the meal break should last no less than thirty (30) minutes and no more than sixty (60) minutes, and the duration will be established by your manager.

Part-time employees scheduled to work more than five (5) consecutive hours during any work day will receive a meal break of the same duration as full-time employees in their department.

Employees required to work more than ten (10) hours in any workday may be allowed a second meal break no later than six (6) hours after returning from their first meal break.

Supervisors are responsible for balancing work loads and scheduling meal breaks and should take into consideration the work load and the nature of the job performed. As such, employees must receive supervisor approval before beginning any meal breaks or rest periods. Whenever necessary, the duration and time of meal periods may be changed.

During meal breaks, employees are not subject to any work responsibilities or restrictions. Employees will not be paid for meal break time. Employees may not leave early or extend meal breaks beyond their assigned period. Employees may be subject to disciplinary action if tardy in returning from a meal break or rest period.

Where possible, a designated area is provided for employees to use during meal breaks. No employee may consume food or beverages in work areas unless the employee is specifically required to remain at a work station during meal breaks. Employees on meal breaks are not permitted to interfere with other employees who are continuing to work.

Rest Periods

Rest periods should be offered to ensure a safe and productive work environment. The duration of rest periods will vary by location, but generally should be no more than fifteen (15) minutes. Employees will be paid for time spent on rest periods. Excessive use or refusal to return from rest periods may result in disciplinary action up to and including termination.

2.10 - ATTENDANCE AND PUNCTUALITY

Absences

Employees are expected to report for work on time and to work all scheduled hours, as well as any required overtime. Employees should be ready to begin work at their scheduled starting time and engage in carrying out their duties during scheduled work hours. If you are unable to report for work, know you will be late, or must leave early, you must notify your supervisor prior to the start of the work day, or as soon as possible. Notification to your supervisor can be by phone, text message, or email, however, phone contact is preferred. Your location may have a specific call in process, and it is your responsibility to know whom to contact in the event of an unscheduled absence.

The notice should include a reason for the absence and an indication of when you can be expected to report for work. If your supervisor is unavailable, you should contact another member of management. Leaving a message with a co-worker is not considered sufficient notice. You should call the supervisor every day prior to the start of the work day, or as otherwise agreed upon between you and your supervisor during a short-term absence. Failure to properly notify the Company of any absence may be grounds for disciplinary action.

Unauthorized absences, excessive or unscheduled absences (those not covered under the Family and Medical Leave Act) or falsification of the reason for an absence will be considered abuse of this policy and grounds for disciplinary action, up to and including termination.

Generally, more than three (3) unauthorized or unscheduled absences within a three (3) month period are considered 'excessive.'

An authorized absence for personal health reasons that extends beyond three (3) days should be addressed using the Leave of Absence policy (see 5.06). Employees who are absent from work for three (3) consecutive days without giving proper notice to the Company will be considered to have voluntarily quit.

Tardiness/Leaving Early

Non-exempt employees more than thirty (30) minutes late, who have not notified their supervisor prior to the start of the regular work day may lose their opportunity to work the balance of the work day. Employees must report to their supervisor after being late or absent, and give an explanation of the circumstances surrounding their tardiness or absence. A pattern of arriving late or leaving early will be subject to disciplinary action.

Non-exempt office employees should obtain permission from their supervisor in order to leave the Company premises during working hours. In addition, employees who are frequently away from the premises for business reasons should inform their supervisors of their location(s) during working hours.

Employees working in some facilities are required to notify a member of management when leaving the facility for any reason before the end of their shift. Failure to do so may be regarded as a security or safety violation and could be subject to disciplinary action up to and including termination. Employee are expected to follow their site requirements.

Inclement Weather / Rainouts

During inclement weather conditions, employees are expected to report for work if the Company does not declare an emergency closing and if employees are able to do so without any undue threat to their personal safety.

2.11 - OUTSIDE EMPLOYMENT

The conduct and activities of the employees away from the job must not: compete with, conflict with, or compromise the Company's interests; adversely affect job performance; or impede the ability to fulfill all responsibilities to the Company. This requirement prohibits employees from performing any services for customers on non-working time that is normally performed by Company personnel. This prohibition also extends to the unauthorized use of any Company tools or equipment and the unauthorized use or application of any confidential trade information or techniques. In addition, employees are not to solicit or conduct any outside business during paid working time or while on a leave of absence (medical or other).

Employees are cautioned to carefully consider the demands that additional work activity will create before requesting permission to seek or accept outside employment. Outside employment will not be considered an excuse for poor job performance, absenteeism, tardiness, leaving early, refusal to travel, or refusal to work overtime or different hours. If outside work activity causes or contributes to job-related problems, it must be discontinued and, if necessary, normal disciplinary procedures will be followed to deal with the specific problems.

Nothing in this policy is intended to impair any employee's ability to work for any labor organization provided that such work does not impede the performance of his duties at the Company.

2.12 - EMPLOYMENT OF IMMEDIATE FAMILY OR CLOSELY CONNECTED PERSONS

Candidates for employment will be considered on the basis of their qualifications. The Company permits the employment of an employee's Immediate Family or closely connected persons as long as no actual or perceived conflicts of interest arise out of such situations. Employment of a relative or closely-connected person must be reviewed by the applicable Vice President and the Human Resources Manager for that Business Unit. A secondary review by executive management will be referred to the Sr. Vice President of Human Resources if needed.

For purposes of this guideline, "Immediate Family" is defined as a spouse, child, parent, sibling, grandparent, grandchild, aunt, uncle, niece, nephew, corresponding in-law (father, mother, sister, brother, son, or daughter), or "step" relation. "Closely connected person" is defined as a person with whom the employee is having an emotional or physical relationship or a relative of any such person.

If any manager or supervisor of the company has this type of relationship with any other employee as of the effective date of this policy or such relationship should develop, it shall be the responsibility and mandatory obligation of that manager or supervisor to promptly disclose the existence of the relationship to their senior management. The senior manager must then report the relationship to the Human Resources Manager for that Business Unit for review of potential conflict.

If any manager or supervisor has any supervisory responsibility or authority over another employee with this type of relationship, the related employee and manager/supervisor may not thereafter be permitted to work together in the same assignments. In addition, the manager/supervisor must withdraw from participation in activities or decisions that may reward or disadvantage any employee with whom the manager/supervisor has such a relationship. These activities include, but are not limited to, hiring, evaluations, promotions, compensation, expense reimbursement, work assignments, and discipline.

In the event employees become relatives or closely connected persons, such as through marriage, and the employees work in a direct supervisory relationship with one another, the Company will attempt to reassign one of the employees to another position for which they are qualified, if such a position is available. If no such position is available, then one of the employees may be required to leave the Company.

2.13 - ROMANTIC OR SEXUAL RELATIONSHIPS

Consenting "romantic" or sexual relationships between a supervisor and a subordinate may lead to complications and significant difficulties. Therefore, any such relationship may be contrary to the best interests of the Company.

Accordingly, the Company strongly discourages such relationships and any conduct (such as dating between a supervisor/manager and a subordinate) that is intended or may reasonably be expected to lead to the formation of a romantic or sexual relationship.

If a romantic or sexual relationship between a supervisor and subordinate exists as of the effective date of this policy or should develop, it shall be the responsibility and mandatory obligation of the supervisor/manager to promptly disclose the existence of the relationship to the supervisor/manager's senior management who must make a report to the Human Resource Manager for that Business Unit. The subordinate may make the disclosure as well, but the burden of doing so shall be upon the supervisor/manager.

The Company recognizes the ambiguity of and the variety of meanings that can be given to the term "romantic." If either of the parties to such a relationship have questions about the meaning of the term as it applies to either or both of them in order to act in a manner consistent with this policy, they are strongly encouraged to consult their Human Resources Manager. Any concerns must be reviewed by their Vice President in consultation with the Human Resources Manager. A secondary review by executive management will be referred to the Sr. Vice President of Human Resources if needed.

Upon being informed or learning of the existence of such a relationship, the Company may take all steps that it, in its discretion, deems appropriate. At a minimum, the subordinate and supervisor/manager will not thereafter be permitted to work together on the same matters (including matters pending at the time disclosure of the relationship is made), and the supervisor/manager must withdraw from participation in activities or decisions (including, but not limited to, hiring, evaluations, promotions, compensation, work assignments and discipline) that may reward or disadvantage any employee with whom the supervisor/manager has or has had such a relationship.

This policy shall apply without regard to gender and without regard to the sexual orientation of the participants in a relationship of the kind described.

2.14 - TERMINATION OF EMPLOYMENT

Discharge can be for any reason not prohibited by law. In the absence of a specific written agreement, the employment relationship between each employee and the Company is "at will." This means employees are free to resign at any time and for any reason, or for no reason at all. The Company also reserves the right to terminate employment at any time with or without cause and with or without notice.

Employees will receive their final paycheck in accordance with state and federal laws.

On or before their last day of work, employees must return all Company property. To the maximum extent permitted by applicable laws, the employee hereby authorizes the Company to withhold from the employee's paycheck the cost of any Company property that is not returned when required. In the event of a charge remaining after an employee has left the Company, any charges may be deducted upon rehire. The Company may also take all legal action deemed appropriate to recover or protect its property or the value of its property.

Property may include the following items, as well as any other property purchased by the Company for business purposes: computers and related equipment, cell phones, company identification cards, keys, credit cards, tools, vehicles, uniforms, protective equipment, passes, and written materials. If the employee owes the Company any money or is responsible for any lost or damaged property, those accounts are to be settled as originally agreed or by deduction from final pay, unless prohibited by law.

The Human Resources Department, or its designee, will notify terminated employees who are covered under the Company's group health plan of their right to continue coverage through COBRA.

Prior to departure, employees may be asked to give an evaluation of employment in an exit interview. This constructive exchange will help the Company to identify any areas that need further attention, in order to provide the best possible work environment.

Terminated employees may be eligible for future employment if recommended by their supervisor and approved by the Human Resources Department. Some employees may not be eligible for rehire, and it is the policy of the Company not to disclose information related to our hiring decisions.

Termination and discharge procedures are only guidelines and do not create a legal contract between the Company and its employees. The Company reserves the right to implement its policies and procedures using its discretion in the best interest of the Company. In addition, specified grounds for termination are not all-inclusive since the Company reserves the right to terminate employment "at-will," with or without cause and with or without notice.

SECTION 3: EMPLOYEE BENEFITS

3.01 – INSURANCE BENEFITS

It is the policy of the Company to provide its employees with various employee benefits. Information and summaries intended to explain these benefits will be furnished to all eligible employees on a timely and continuing basis. The Company reserves the right to modify, amend, or terminate its employee benefits as they apply to all current and former employees.

A Summary Plan Description (SPD) of the current employee benefits and eligibility requirements can be obtained from the Human Resources Department. These documents are available for examination by any plan participant or beneficiary. In addition, these documents are the only official and binding materials concerning the Company's benefit plans. All summaries and communications, both written and verbal, must refer to them as binding in cases of questions or disputes.

Under some of the Company's insurance and retirement plans, an employee must designate a beneficiary for the employee's death benefits. The designation must be made in writing and in a form acceptable to the Administrator. It is the employee's responsibility to maintain the proper beneficiary designations and to alert the Human Resources Department to any changes in status affecting eligibility or designations.

3.02 – CHARITABLE OR POLITICAL DONATIONS OR SPONSORSHIPS

Supporting the communities in which we operate is integral to The Brock Group's heritage and to its future. We believe that good corporate citizenship strengthens relationships with our customers and our community, reinforces the completeness and value of our integrated service offerings, improves shareholder value, and enhances safety performance by extending a culture of caring for each other.

The Brock Group focuses its charitable giving in areas that directly support the people and communities in which it operates. This includes all geographic areas where Brock has a regional headquarters, or at field locations with five or more employees regularly assigned to the site.

Gifts to any of the following are prohibited:

- Federal, state, or local government officials
- Foreign government associates, agents, or officials
- Domestic or foreign political campaigns.

The Brock Group establishes a charitable giving budget at the outset of each fiscal year. This budget will be administered by the Director of Public Relations who will also field all requests for contributions. For more information, contact the Director of Public Relations.

3.03 - EDUCATIONAL REIMBURSEMENT

The Company believes it is in our best interest to facilitate the educational needs of our key employees, and in certain instances, will provide reimbursement of the cost of tuition and books.

To be considered for Educational Reimbursement (ER), an employee must be a full-time employee, have at least one year of prior service with the Company prior to presenting a request for ER, and be employed in good standing at the time the ER is submitted. All requests for ER must be submitted and approved in advance by appropriate management and the Sr. Vice President of Human Resources.

Please contact your Human Resources Manager for information on additional requirements and procedures for requesting Educational Reimbursement.

SECTION 4: EMPLOYEE PAY

4.01 – PAY PROCEDURES

It is the policy of the Company to pay employees on a regular basis and in a manner so that the amount, method, and timing of wage payments comply with any applicable laws or regulations. Payment may be made by check, direct deposit to a pay card account, or to a bank account depending upon procedures for your business entity or location.

Unless otherwise prescribed by law, non-exempt employees will be paid overtime compensation at the rate of one and one-half (1 ½) times their regular hourly rate for work in excess of forty (40) hours during the regular work week.

For each payday, employees will receive, in addition to their paycheck or deposit, a statement showing gross pay, deductions, and net pay. Local, state, federal, and Social Security taxes will be deducted automatically. No other deductions will be made unless required or allowed by law, contract, or employee obligation. Employees may elect to have additional voluntary deductions taken from their pay by authorizing the deductions in writing.

Employees who discover a mistake in their pay, lose their paycheck or pay card, or have it stolen should notify the Payroll Department immediately. In the case of a mistake, the error will be remedied promptly. In the case of loss or theft, the Payroll Department will attempt to stop payment and reissue wages to the employee. However, the employee is solely responsible for the monetary loss, and the Company will not be responsible for the loss or theft of a check or pay card if it cannot stop payment prior to the funds being withdrawn.

In the event of employee termination, final pay will be provided to the employee by usual means and within applicable state guidelines.

The Company reserves the right to adjust pay for previous wage overpayments, wage underpayments, or for Company property and equipment not returned upon termination of employment where permissible by law.

Salaried Employees

Pay dates for salaried employees are generally on the first (1st) and sixteenth (16th) of the month. In instances where the first (1st) or sixteenth (16th) falls on a Saturday or Sunday, the pay date will be the preceding Friday. Likewise, where the pay date falls on a major holiday (when the office and/or banks are closed), pay date will occur the day before the holiday.

4.02 – TRAVEL AND ENTERTAINMENT

All reimbursable employee expenses must be approved by your direct supervisor. Any employee incurring reimbursable expenses is expected to exercise good business judgment and prudence when incurring travel expenses, and to provide appropriate documentation as set forth in the policy in order to be eligible for expense reimbursement.

Policy Acknowledgment

Please refer to the Brock internal website, or contact your supervisor or Human Resources Manager, for more information on the terms and conditions relating to this policy.

Each employee requesting reimbursement must sign a statement that they have read and understand this policy. This acknowledgment will be retained by Human Resources.

SECTION 5: PAID TIME OFF AND LEAVES OF ABSENCE

5.01 - PAID TIME OFF (PTO)

It is the policy of the Company to grant annual Paid Time Off (PTO) to eligible employees in accordance with the guidelines established below. Eligibility for PTO is typically determined by specific job classifications and is granted at the discretion of the Company.

Eligible employees may use available PTO for vacation, illness, and for any other time away from work. PTO is intended to provide a pool of days for employees to have the benefit of paid time off for vacation, illness, and other time away from work.

Amount and Eligibility

Once employees enter a covered employment classification, they become eligible for PTO. Time during which employees are on any type of leave of absence will not be counted for determining PTO eligibility. In the event of any rehire after more than sixty (60) days since the last period of employment, the employee's service date and PTO eligibility will restart.

PTO must be used during the year or it will be forfeited. Unused PTO shall not be considered earned compensation and will not be paid out upon termination unless specifically mandated otherwise by law. Employees may become eligible for PTO at the next higher level beginning January 1st of the calendar year in which their fifth (5th) and tenth (10th) year of service are attained. Eligible employees can request the use of PTO, based on the following tables.

State and local laws may specify different methods than those stated in the Handbook and will prevail where applicable.

Salaried and Overhead Employees

The amount of PTO salaried or overhead employees may take each year increases as noted below, based on the length of their employment. The PTO year begins on January 1 and ends on December 31.

New hires are eligible for PTO on a pro-rata basis based on their start date. For example, an employee who starts work on July 1 and is eligible for two (2) weeks of PTO during a full twelve (12) months of the year, would be eligible for one (1) week of PTO for the remainder of her first calendar year of employment (due to her start date being mid-year and therefore eligible for PTO over a six (6) month period vs. twelve (12) month period). On January 1 of the following year, she will be eligible for two (2) weeks of PTO (for the period January 1 thru December 31).

Specific eligibility by tenure is defined as follows:

ELIGIBILITY	Date of hire to Dec 31 of 4 th Yr.	Jan. 1 of 5 th Yr. to Dec. 31 of 9 th Yr.	Jan. 1 of 10 th Yr & beyond
All Salaried & Overhead	80 hours (2 weeks)	120 hours (3 weeks)	160 hours (4 weeks)

Part-Time Employees

Part-time overhead or salaried employees are eligible for PTO on a pro-rata basis based on the employee's average number of hours per week during the PTO year (i.e. someone working 75% of full time hours would earn 75% of PTO eligibility). Employees working less than twenty (20) hours per week and temporary employees are not eligible for PTO.

Site-Based Employees

For eligible employees, PTO is available after one complete year of continuous service/employment.

The following guidelines describe minimum PTO eligibility for employees who work at customer sites or Company field offices and who are considered to be site personnel. Site personnel typically include billable employees supporting specific customers or jobsites. Individual locations may have greater benefits according to business conditions and customer contracts. For any questions about eligibility, contact your Human Resources Manager.

Specific eligibility by position is defined as follows:

POSITION	One yr. Anniv. to Dec. 31, 4 th Yr.	Jan. 1 of 5 th Yr. to Dec. 31, 9 th Yr.	Jan. 1 of 10 th Yr. and beyond
Site Manager, Superintendent	40 hours (1 week)	80 hours (2 weeks)	120 hours (3 weeks)
General Foreman, Foreman, HSE, Timekeeper, Planners, Site Admin,	40 hours (1 week)	80 hours (2 weeks)	80 hours (2 weeks)
Leadman, Crafts, All others	Not eligible		

Unused PTO

Unless otherwise mandated by law, PTO time is not cumulative, will not be considered earned compensation, and any unused PTO at the end of the calendar year or upon termination of employment shall be forfeited.

Employees shall not be paid for PTO unless time is actually taken off from work. Any PTO taken shall not be considered as hours worked for purposes of calculating overtime.

Using Available PTO

Unless state law or job site requirements mandate otherwise, PTO can be taken in increments of at least two (2) hours. Check with your immediate supervisor for more information about the process for approval of PTO in your location or Business Unit.

PTO for Unscheduled Absences and Illness

If you have PTO available and must take an unscheduled day off, you must use the available PTO time to cover that time away.

Availability of PTO to cover an unscheduled day off does not dismiss any concern about a pattern of poor attendance. See the Attendance and Punctuality policy for more information.

PTO for Scheduled Vacation or Other Needs

Scheduled PTO for vacation and other needs requires prior approval of the employee's supervisor. Supervisors are responsible for ensuring adequate staffing levels and should attempt, when feasible, to resolve PTO scheduling conflicts based on length of service. However, employees who want to change their plans after the PTO schedule has been set may lose that consideration.

5.02 - BEREAVEMENT LEAVE

All full-time and part-time employees may take up to three (3) days [twenty-four (24) work hours] paid time off as a result of the death of an Immediate Family member. For part-time employees, the hours would be pro-rated based on their hours worked in an average work week, not counting any overtime. Leave for estate settlement of Immediate Family members may also be available as unpaid personal leave or PTO (if available) with prior approval, but is not considered paid bereavement leave. For the purposes of this policy, the employee's Immediate Family includes:

- Parents;
- Spouse;
- Children;
- Grandchildren;
- Siblings;
- Grandparents;
- In-laws (Mother, Father, Sister, Brother, Daughter, and Son);
- "Step" parents or children.

The employee's supervisor must approve bereavement leave using documents supplied by the Company, and submit the required paperwork and documentation as defined for the employee's Business Unit.

If additional days are needed, employee may use any other available paid time off, and/or request an unpaid personal leave, subject to prior approval from the employee's supervisor.

5.03 - JURY DUTY

The Company encourages employees to fulfill their civic responsibilities by serving jury duty when required. All full-time and part-time employees shall be allowed up to forty (40) hours of paid time off for jury duty leave over any one-year period. You must provide your supervisor with a copy of your jury summons as soon as possible upon receiving the summons. Any time beyond forty (40) hours will be unpaid, unless required by law, but will still require proof of service from the court. Employees may use any available paid time off beyond that provided by this jury duty policy.

Adequate proof of service must be provided in order to receive your regular pay during your absence for jury duty. If excused by the court before the end of the work day, you must return to work. When you return to work, you should provide your supervisor with verification from the court of the number of hours or days you served on the jury. All employees, unless prohibited by the court, should call in to their supervisor each day that they will be absent. In the event such calls are prohibited, the employee must notify his or her supervisor of the court order prior to sequester.

The Company will make no attempt to have an employee's jury duty postponed except where business conditions necessitate such action.

5.04 - OBSERVED HOLIDAYS

The Company designates and observes certain days each year as holidays. Eligible employees will be given specified time off with pay for each holiday observed. Eligibility for holiday pay is at the discretion of the Company, and is typically determined by specific job classifications and may be site dependent. See "Site-Based Employees" below for more information. If holiday pay is provided, it is in increments of eight (8) hours, regardless of the schedule worked. Holiday pay is not counted toward overtime hours.

To be eligible for holiday pay, an employee must be at work or taking an approved absence on the work days immediately preceding and immediately following the observed holiday. An approved absence is a day of PTO or pre-approved leave. If an employee is absent on one or both of these days because of an illness or injury, the Company may require verification of the reason for the absence, such as a doctor's note, before approving holiday pay. If the employee has an unscheduled absence on one or both of these days, they may lose their eligibility for holiday pay. Unused holidays, including the floating holiday, will not be paid out to an employee upon termination of employment for any reason.

Non-exempt/hourly employees who work on a recognized holiday will receive holiday pay plus wages at their straight-time rate, or at overtime rate if the employee has worked over forty (40) hours for the hours worked on the holiday.

The schedule of holidays that the Company will observe during the following calendar year will be published prior to the end of the preceding year. A holiday that occurs on a Saturday or Sunday generally will be observed by the Company on either the preceding Friday or following Monday. Please contact your supervisor or Human Resources Manager for a copy of the schedule.

Salaried and Overhead Employees

Eligible full-time employees will receive their regular rate of pay for each observed holiday. Eligible part-time employees will receive their regular rate of pay for each observed holiday they would normally be scheduled to work and only for their regularly scheduled number of hours. Employees who work less than twenty (20) hours per week, temporary employees and employees on leaves of absence are not eligible to receive holiday pay.

The Company may schedule work on an observed holiday as it considers necessary.

The Company may observe a "floating holiday." Where applicable, the floating holiday must be scheduled with the prior approval of the employee's supervisor. This holiday is a calendar year holiday and cannot be rolled over to the following year.

Site-Based Employees

Each operations group may designate paid holidays for employees who are foremen and above, site administrative staff, and site safety personnel, taking into account local business conditions and client reimbursement. Craft employees are not eligible for holiday pay unless specified in the customer contract for their jobsite.

The intent of holiday pay for employees assigned to customer jobsites is to replace pay lost if the job is closed for the holiday. At locations where contracts establish paid holidays that are reimbursed by the customer, that schedule should be used. If the holiday schedule observed at the work site is different than the Company schedule, the work site schedule will take precedence.

As always, business and/or customer needs may require that individuals or groups work on a designated holiday. Eligible hourly employees who work on a recognized holiday will receive holiday pay plus regular wages for the hours worked on the holiday. Per Company guidelines, all covered employees must work the scheduled workday before and after any holiday to be eligible for compensation, or have an approved absence (PTO or pre-approved leave).

5.05 – TIME OFF FOR VOTING

Laws in some states govern how employees may take leave, in some cases paid leave, for time to vote in local, state, or national elections. Those laws may state the guidelines that must be used to request the leave, how it applies, and when it may be taken. If you have questions about leave available for voting, contact your Human Resources Manager.

5.06 – LEAVES OF ABSENCE

It is the policy of the Company to authorize employees to be absent from work on an approved, short-term basis under certain circumstances. Generally, unless otherwise stipulated in other Company policies or available benefits, such leaves will be unpaid. When a foreseeable, scheduled absence becomes an approved leave of absence, it will not be considered an absence for disciplinary purposes. Employees on an approved leave of absence may not perform work for any other employer during that leave, except when the leave is for military service.

Employees are reminded that if they are on unpaid leave they must make arrangements with the Benefits department for payment of premiums on employee's benefits. If employee premiums are not paid for 30 days, they will be cancelled pending the return of the employee from leave.

Leave of this nature can be of five primary types:

- Work-Related Injury
- Personal Illness or Injury (non-work)
- Personal Leave
- Military Leave of Absence
- Family & Medical Leave (FMLA, see 5.07)

Work-Related Injury

Some work-related injuries are compensable through state Worker Compensation programs or other similar programs managed by our customers. If an employee must miss work due to a compensable work-related injury, the employee's immediate manager will notify their HSE (Health, Safety and Environmental) Representative and follow all applicable Company reporting procedures.

Employees on an approved leave of absence due to a compensable work-related injury may not use any available PTO pay to supplement this form of compensation.

This type of leave does not guarantee a return to work unless the employee is also qualified for leave under the Family and Medical Leave Act or mandated by any applicable state laws or regulations.

An employee who is absent from work for more than sixty (60) consecutive days without seeking or obtaining an approved leave of absence (e.g., worker's compensation, ADA, or FMLA) shall be administratively terminated unless the Company determines the circumstances justify an extension.

Personal Illness or Injury (non-work related)

Sickness or injury of the employee or a member of the employee's Immediate Family may result in a temporary absence. Written certification from the employee's or family member's health care provider may be required for return to work (See 5.08).

If the absence is three (3) days or less, the employee must use the call-in process outlined in the Attendance and Punctuality policy (See 2.10). Medical certification may be required, if deemed necessary by the supervisor to confirm the reason for the employee's absence.

If the absence continues for more than three (3) consecutive work days and further absences are foreseeable, a short-term leave of up to two (2) weeks or less may be approved at the discretion of the employee's manager, in consultation with their Human Resources Manager. For any leave request that extends beyond two (2) weeks or when the leave may qualify as FMLA leave, the employee's manager must discuss with the Human Resources Manager for their Business Unit. Personal leave of more than thirty (30) days that is not for FMLA or other specified leave must be approved by the Sr. Vice President of Human Resources.

Any leave which exceeds the employee's available PTO will generally be unpaid. Employees with available PTO are required to use that paid leave.

This type of leave may also qualify for Family and Medical Leave (see 5.07). Contact the Human Resources Manager for your Business Unit to discuss.

Personal Leave

Employees may be granted a leave of absence to attend to personal business that cannot be conducted outside of normal working hours, or in cases in which the Company determines that an extended period of time away from the job will be in the best interests of the employee and the Company. Examples of personal leave may include voluntary participation in community activities, religious observance, travel for family emergencies, or marriage of the employee or a member of the employee's Immediate Family.

In order for a personal leave to be considered authorized, employees must obtain prior approval for the absence from their supervisor and submit the Employee Leave form (See Company Home Page). If the personal leave is unauthorized, it may be considered a violation of the attendance policy and could result in disciplinary action or termination.

A short-term leave of up to two (2) weeks may be approved at the discretion of the employee's manager, in consultation with their Human Resources Manager. For any leave request that extends beyond two (2) weeks or when the leave may qualify as FMLA leave, the employee's manager must discuss with the Human Resources Manager for their Business Unit. Personal leave of more than thirty (30) days that is not for FMLA or other specified leave must be approved by the Sr. Vice President of Human Resources.

Military Leave

An employee who is a member of the United States Army, Navy, Air Force, Marines, Coast Guard, National Guard, Reserves, or Public Health Service will be granted an unpaid leave of absence for military service, training, or related obligations in accordance with applicable law. Employees are eligible for military leave beginning the first day of employment. At the conclusion of the leave, upon the satisfaction of certain conditions, an employee generally has a right to return to the same position he or she held prior to the leave or to a position with like seniority, status and pay that the employee is qualified to perform. Some states may provide greater protection for employees serving in the military.

Employees on Military Leave are not required to use any accrued Paid Time Off (PTO) days while on leave. However, they may, at their option, elect to use some or all of any available PTO to cover time off.

Military leave must be coordinated and approved by the employee's immediate manager and their Human Resources Manager. Please contact your Human Resources Manager for more information on the terms and conditions of and procedure for requesting Military Leave.

Return to Work from Approved Leave

Refer to the Fitness for Duty/Return to Work policy (5.08) for guidance on specific action that may be required when an employee on approved leave is ready to return to work.

Payment of Benefit Premiums While on Unpaid Leave

An employee who is on unpaid leave and therefore not receiving pay from the Company must make direct payments for any benefits through the Benefit Department in order to continue benefits coverage.

5.07 - LEAVE UNDER THE FAMILY AND MEDICAL LEAVE ACT ("FMLA")

Basic Leave Entitlement

The Company will provide up to 12 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

- for incapacity due to pregnancy, prenatal medical care or child birth;
- to care for the employee's child after birth, or placement for adoption or foster care;
- to care for the employee's spouse, son, daughter, or parent, who has a serious health condition; or
- for a serious health condition that makes the employee unable to perform the employee's job.

Military Family Leave Entitlements

Eligible employees whose spouse, son, daughter, or parent is on covered active duty or call to covered active duty status may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings. A serious injury or illness is one that is incurred by a service member in the line of duty on active duty that may cause the service member to be medically unfit to perform the duties of his or her office, grade, rank, or rating. A serious injury or illness also includes injuries or illnesses that existed before the service member's active duty and that were aggravated by service in the line of duty on active duty.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is:

- (1) a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness; or
- (2) a veteran who was discharged or released under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FMLA leave to care for the covered veteran, and who is undergoing medical treatment, recuperation, or therapy for a serious injury or illness.

Benefits and Protections

During FMLA leave, the company will maintain the employee's health coverage under any group health plan on the same terms as if the employee had continued to work. Upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.

Use of FMLA leave will not result in the loss of any employment benefit that accrued prior to the start of an employee's leave. Upon completion of the 12-week leave, or if an employee fails to maintain his contribution for benefits, or fails to return to work at the end of leave, a loss of coverage will occur, and continuation of health care coverage would be offered through COBRA. An employee who does not return from leave may be required, under certain circumstances provided by the Act, to reimburse the Company for any employee contributions paid by the Company while the employee was on unpaid leave.

An employee who is on unpaid leave and therefore not receiving pay from the Company must make direct payments for any benefits through the Benefit Department in order to continue benefits coverage.

Eligibility Requirements

Employees are eligible if they have worked for the Company for at least 12 months (in any time period), have 1,250 hours of service in the previous 12 months, and if at least 50 employees are employed by the employer within 75 miles.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Use of Leave

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the employer's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

An eligible employee is entitled to a total of 12-work weeks of unpaid leave within a 12-month period. The amount of leave available to an employee will be calculated by looking backward at the amount of leave taken within the 12-month period immediately preceding the first date of leave. Leave taken for the care of a newborn child or placement for adoption or foster care must be taken as an uninterrupted, continuous leave of absence and must be taken within 12 months of the birth or placement of the child. If both a husband and wife are employed by the Company, and are eligible for leave, except for leave due to the employee's serious health condition, the two may take a combined total of 12-weeks. Intermittent leave or a reduced schedule may be approved for the employee's serious health condition or a family member's serious health condition where medically necessary and where the need for such leave is best accommodated through such scheduling. An employee requesting intermittent leave/reduced schedule may be transferred temporarily to an available alternative position with equivalent pay and benefits, or to a part-time position if such a position better accommodates the need for intermittent leave/reduced schedule.

Substitution of Paid Leave for Unpaid Leave

An employee taking family and medical leave due to the employee's serious health condition must substitute all accrued paid time off (PTO), if applicable, before continuing leave on an unpaid basis. An employee taking leave for reasons other than an employee's own serious health condition must exhaust all accrued unused paid time off before continuing leave on an unpaid basis. Any family and medical leave, whether paid, unpaid, or a combination thereof, will be counted toward the 12-week leave entitlement.

Employee Responsibilities

Employees must provide 30-days advance notice of the need to take FMLA leave when the need is foreseeable. When 30-days' notice is not possible, the employee must provide notice as soon as practicable and generally must comply with the Company's normal call-in procedures.

Employees must provide sufficient information for the Company to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Company Responsibilities

The Company will inform employees requesting leave whether they are eligible under FMLA. If they are, the notice will specify any additional information required as well as the employees' rights and responsibilities. If they are not eligible, the Company will provide a reason for the ineligibility.

Covered employers must inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee's leave entitlement. If the employer determines that the leave is not FMLA-protected, the employer must notify the employee.

Job Restoration

An employee will be returned to the same or an equivalent position when the employee returns from family and medical leave, with no loss of benefits accrued prior to leave. An employee who does not return to work at the end of an authorized leave is subject to termination of employment. In the event an employee's position with the Company is affected by a decision or event not related to the employee's leave of absence, e.g., job elimination due to a reduction in force, the employee will be affected to the same extent as if he/she was not on leave.

Workers' Compensation and Family and Medical Leave

With some exceptions, an absence related to a workers' compensation injury is not counted against an employee's family and medical leave entitlement. If an employee who was injured on the job and as a result who suffered a "serious health condition" declines the offer of a medically-approved "light duty" position, the employee should notify the Human Resources Manager for his Business Unit that he chooses to exercise his family and medical leave rights, if he is so eligible. If the employee accepts the "light duty" position in lieu of any family and medical leave or returns to work within 12 weeks after the date of the injury, the employee will retain his right to be restored to the same or an equivalent position until 12 weeks have passed unless a decision or event not related to the employee's leave of absence occurs which results in the termination of the employee or the elimination of the job position.

Unlawful Acts by Employers

The Company will not:

- interfere with, restrain, or deny the exercise of any right provided under FMLA; or
- discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

If you have any questions about your rights or responsibilities under this policy, contact the Human Resources Manager for your Business Unit.

Enforcement

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against Company. FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

5.08 – FITNESS FOR DUTY AND RETURN TO WORK

Establishing “fitness for duty” is an important part of a process of determining whether applicants or current employees are able to meet the essential functions of their assigned job using information based on medical examinations. In certain instances, employees may be required to have a medical examination when it is job-related and consistent with business necessity. For example, a medical examination may be required when an employee is exposed to toxic or unhealthful conditions, requests an accommodation for a disability, or requests FMLA leave.

In some situations, employees may be asked to provide information from their personal physician, at their own expense, in order to determine their fitness for duty. Other Company-required physical examinations shall be paid for by the Company. Company-required physical examinations are those performed by a physician or licensed medical facility designated or approved by the Company. Medical examinations paid by the Company are property of the Company. Medical records will be treated as confidential and kept in separate medical files unless otherwise required by law or regulation.

Pre-Employment Fitness for Duty

Following a conditional offer of employment, applicants may be required to undergo medical tests, procedures, or examinations when required by federal, state, or local regulations; customer requirements; or when management determines additional information is necessary to establish that a candidate for employment can perform the essential functions of the job they have been offered.

Fitness for Duty Following Work-Related Injury

Return to work following an on-the-job injury will be managed by the employee’s supervisor or Site Manager, HSE Representative, and the Corporate Worker’s Compensation Claims Manager, in alignment with applicable State regulations.

Fitness for Duty Following Non-Work-Related Injury or Illness

If an employee will be away from work due to certain personal health conditions or injury he is expected to follow the guidelines regarding Leave of Absence and notify his supervisor or manager of the reason for the absence or leave and provide an expected date of return. Employees returning from an approved leave or an absence due to personal health may be required to provide a physician’s certification of their ability to perform the essential functions of their job satisfactorily and without endangering themselves or others. The Company reserves the right to require acceptable confirmation of the nature and extent of any illness or injury that requires an employee to be absent from scheduled work.

Prior to returning to work (within 48 hours or as soon as practicable), the employee shall verbally inform their supervisor of their anticipated return, and provide their supervisor with a return to work form from their treating physician if the employee:

- Is absent from work five (5) or more consecutive working days due to personal health issues; or,
- Had a muscular or skeletal injury; or,
- Had surgery or was hospitalized (regardless of length of stay); or,
- Has work restrictions or limitations; or,
- Is taking a medication (prescription or over-the-counter) that may interfere with working safely.

The return to work form must be sufficient to establish the treating physician's assessment of the employee's ability to perform their essential job functions. The company will provide a form for this purpose.

Upon receiving the return to work information, the supervisor or manager will consult with the HSE Representative for that location, site, or Business Unit. The Company may require a second and, if necessary, third medical opinion regarding an employee's return to work in accordance with the requirements of the Family & Medical Leave Act (FMLA) or the Americans with Disabilities Act (ADA) and amendments, where applicable. Any required additional opinions will be paid for by the Company.

If for any reason, the employee is unable to return to work, has restrictions, or is not cleared by medical examinations, the HSE Representative will review the request with the Human Resources Manager for that Business Unit.

For any questions about the return to work process following an illness, injury, or medical condition contact the Human Resources Manager for your Business Unit.

SECTION 6: PERSONAL CONDUCT

6.01 - EMPLOYEE BEHAVIOR

It is the policy of the Company that certain rules and regulations regarding employee behavior are necessary for efficient business operations and for the benefit and safety of all employees.

Employees are expected at all times to conduct themselves in a professional manner. Appropriate employee conduct includes, but is not limited to the following examples:

- Treating all customers, visitors, and co-workers in a courteous manner;
- Reporting suspicious, unethical, or illegal conduct by co-workers, customers, or suppliers to your management;
- Reporting any threatening or potentially violent behavior by co-workers to your management;
- Cooperating with Company investigations;
- Complying with all Company safety and security regulations;
- Wearing clothing appropriate for the work being performed;
- Performing assigned tasks efficiently and in accord with established quality standards;
- Reporting to work as scheduled and being at the proper work station, ready for work, at the assigned start time;
- Giving proper advance notice whenever unable to work or report on time;
- Smoking only at times and in places permitted by Company rules or local ordinances;
- Eating meals only during meal periods and only in the designated eating areas;
- Maintaining cleanliness and order in the workplace and work areas;
- Complying with e-mail and internet use policies;
- Complying with all Company policies and work rules, and working in a cooperative manner with fellow employees and supervision.

The following conduct is prohibited and individuals engaged will be subject to discipline, up to and including termination:

- Possessing firearms or other weapons on Company property;
- Fighting or assaulting a co-worker, customer or guest;
- Threatening or intimidating co-workers, customers, or guests, or otherwise interfering with the job performance of co-workers or guests.
- Engaging in any form of sexual or other harassment;
- Engaging in illegal discrimination;
- Retaliating against any employee for filing a complaint or participating in an investigation;
- Knowingly making a false claim of harassment and/or discrimination;
- Reporting to work under the influence of alcohol, illegal drugs, or narcotics, or using, selling, dispensing, or possessing alcohol or illegal drugs during work hours;
- Disclosing trade secrets or confidential Company information;
- Falsifying or altering any Company record or report, such as an application for employment, a medical report, a production record, a time record, an expense account, an absentee report, or shipping and receiving records;
- Stealing, destroying, defacing, or misusing Company property or another employee's or customer's property;
- Violating Company policies regarding electronic mail, computers, internet access, and telephones;
- Refusing to follow management's instructions concerning a job-related or safety matter or other insubordination;
- Failing to use assigned safety equipment, or failing to abide by safety rules and policies;
- Soliciting or distributing in violation of Company policies;
- Using profanity, racial slurs, derogatory or abusive language;
- Sleeping on the job;
- Gambling on Company property;
- Playing pranks, practical jokes, or engaging in horseplay;
- Missing work without approval or authorization or excessive absenteeism;
- Violating any Company policies or directives.

The examples of intolerable behavior described above are not intended to be an all-inclusive list. Any violation of any of the Company's policies may, at management's discretion, subject the employee to disciplinary action, up to and including termination.

This policy does not change the employment-at-will relationship nor does it create an express or implied contract or promise concerning employment or that the Company will provide progressive discipline before terminating an employee. Nothing in this policy is intended to prevent employees from engaging in protected concerted activity.

6.02 - HARASSMENT AND DISCRIMINATION

It is the Company's policy that everyone deserves to work in an environment where respect for the individual is encouraged and safeguarded and harassment or illegal discrimination of its employees in any form is prohibited.

The Company will not tolerate conduct, verbal, physical or any other form, by any employee that harasses, disrupts, or interferes with another's work performance or that creates an intimidating, offensive or hostile work environment. Illegal discrimination and/or harassment in any form constitute misconduct. Therefore discrimination and/or harassment that is sexual, racial, or religious in nature or is related to anyone's gender, national origin, age, sexual orientation, disability or other protected classification is strictly prohibited.

All managers and supervisors are assigned the responsibility for implementing this policy and keeping the workplace free of any form of harassment and/or illegal discrimination. All employees are expected to abide by and promote this policy by not engaging in any such conduct and/or reporting such conduct in order to create a work environment which is free from any form of harassment or illegal discrimination.

Prohibited conduct includes but is not limited to the following examples:

- Unwanted physical contact or conduct of any kind, including fighting or assaulting any person or sexual flirtations, touching, advances, or propositions;
- Verbal harassment of any nature, including discriminatory or lewd comments, sexual jokes or references, sexual innuendoes, and offensive personal references;
- Written, recorded, or electronically transmitted messages including jokes and email that are demeaning, insulting, intimidating, or suggestive of a sexual nature;
- Retaliation for reporting or threatening to report harassment or discriminatory actions;
- Ethnic slurs, racial comments, off-color jokes, or anything that may be construed as illegal harassment.

Any of the above conduct, or other offensive conduct, directed at individuals because of their sex, sexual orientation, race, color, national origin, religion, disability, pregnancy, age, military or veteran status, or other legally protected classification is strictly prohibited and will result in disciplinary action, up to and including termination.

Sexual harassment is a violation of this policy and will not be tolerated. Sexual harassment is defined as unwelcome or unwanted and offensive sexual advances or sexually derogatory or discriminatory remarks; it may be verbal, visual, written or physical. Further examples of prohibited sexual harassment include:

- Threatening or insinuating that an employee must submit to sexual advances as a condition of his or her employment;
- Demeaning, insulting, intimidating, or suggestive comments of a sexual nature or about an individual's personal appearance;
- The display in the workplace of objects, pictures, or photographs that is demeaning, insulting, intimidating, or suggestive of a sexual nature.

Additionally, the Company prohibits the use of electronic communications in ways that are disruptive, offensive to others, or harmful to morale. The display or transmission of demeaning, harassing, discriminatory or sexually explicit images, messages, and cartoons is not allowed. Other such misuse includes, but is not limited to, ethnic slurs, racial comments, off-color jokes, or anything that may be construed as harassment or showing disrespect for others. If you receive any such transmission from outside the Company, delete it. You must not further exacerbate the situation by forwarding it to anyone. Please ask those who send this type of material to refrain from doing so, since it is against Company policy.

An employee who has a complaint of harassment or discrimination has the responsibility to report such conduct to their supervisor, Human Resources Manager, or to the Brock AlertLine at (877) 564-9622 as soon as possible. Likewise, any supervisor or manager who receives a report of harassment or discrimination must report such to the Human Resources Director for their Business Unit immediately.

All complaints of harassment and discrimination will be thoroughly investigated as promptly as possible. Employees are required to fully cooperate in the investigation. Information provided by individual employees in the course of an investigation will be treated as confidential and only be provided to those who have a need for the information or when it is required in the course of investigating the complaint.

The Company prohibits any form of retaliation against employees for bringing good-faith complaints or providing information about harassment or discrimination. However, any employee who knowingly makes a false claim of harassment or discrimination will be subject to disciplinary action, up to and including termination.

Any employee, supervisor, or manager who is found to have violated this policy will be subject to appropriate disciplinary action, up to and including termination. Any non-employee found to have violated this Harassment and Discrimination policy will be jeopardizing his or her future relationship with the Company.

For questions regarding this policy or to report a complaint of harassment or discrimination, contact your Human Resources Manager.

6.03 – SOLICITATION AND DISTRIBUTION

The Company limits solicitation and distribution on its premises as this activity can only serve to interfere with normal operations, reduce employee efficiency, annoy customers, and pose a threat to security.

It is the policy of the Company to prohibit solicitation and distribution by non-employees on its premises. Solicitation and distribution is permitted by employees only as outlined below. Employees may be subject to disciplinary action for violating this policy. Individuals not employed by the Company are prohibited from soliciting funds or signatures, conducting membership drives, distributing literature or gifts, offering to sell merchandise or services (except by representatives of suppliers properly approved by the Company) or engaging in any other solicitation, distribution, or similar activity on Company premises.

The Company may authorize a limited number of fund drives by employees on behalf of charitable organizations or for employee gifts. Employees are encouraged to volunteer to assist in these drives, but their participation is entirely voluntary.

The following restrictions apply when employees engage in permitted solicitation or distribution of literature for any group or organization, including charitable organizations.

- Unless specifically approved by the Business Unit President or Brock Group officer, the sale of merchandise or services is prohibited on Company premises.
- Soliciting during the working time of the employee making the solicitation or of the employee being solicited is prohibited. The term “working time” does not include an employee’s authorized lunch or rest periods or other times when the employee is not required to be working.
- Distribution of literature is prohibited in work areas at all times.
- Distributing literature in a way that causes litter on Company or Customer property is prohibited.
- Off-duty employees are not allowed to return to the interior or other working areas of the Company until their next scheduled work time.

The Company maintains various communication systems in order to communicate Company information to employees and to disseminate or post notices required by law. These communication systems (including bulletin boards, electronic mail, text messages, instant messaging, voice mail, facsimile machines, and personal computers) are for business use only and may not be used for employee solicitation or distribution of literature. In particular, bulletin boards are for the posting of Company information and notices only, and only persons designated by the Human Resources Manager or the senior manager of a worksite may place notices on or take down material from the bulletin board.

The unauthorized use of telecommunication, computer or other electronic forms of information sharing or the distribution or posting of notices, photographs, and/or other materials on any Company property is prohibited.

6.04 – INFORMATION TECHNOLOGY

The aim of this policy is to ensure all employees and contractors of the Company understand the Company's expectation in regards to proper, careful, and purposeful use of Brock's Information Technology (IT) systems and resources. By utilizing Brock's IT systems and resources, you are agreeing to abide by these policies and to take appropriate measures to ensure compliance with these policies.

Acceptable Use

Brock's Information Technology systems and resources are to be used for business purposes to support the company in a professional, ethical, and lawful manner. Inappropriate usage will be reported to the employee's management and Human Resources. Inappropriate use may result in disciplinary action, up to and including termination. Inappropriate use includes, but is not limited to:

- Violating Brock's confidentiality or proprietary information agreements by sending, receiving, printing or disseminating proprietary data, trade secrets or other confidential Brock information;
- Violating copyright laws or any other legal or regulatory requirements;
- Bypassing or attempting to bypass security, anti-virus, or anti-malware systems;
- Accessing or attempting to access systems for which you have not been granted permission to access;
- Use of Peer-to-Peer file sharing mechanisms (e.g.: BitTorrent);
- Excessive personal use;
- Conducting job searches;
- Operating a business;
- Sending chain letters, games, jokes, etc.;
- Engaging in any activity that could be considered a conflict of interest;
- Sending offensive, sexually explicit or harassing statements (according to the Harassment and Discrimination policy);
- Soliciting money for personal gain.

No Expectation of Privacy

Brock systems and resulting information may be monitored or logged at any time without notice. All information or work created on Brock systems is Company property, including any personal information stored on the system.

Software

Employees are not authorized to install or upgrade any software, whether work-related or personal, on Brock computers without prior approval by their management and IT management. Additionally, employees may not install or upgrade Brock-owned software on any computer system (personal, Brock-owned, or owned by another party). Installing or upgrading software may violate copyright and licensing laws and result in legal action against Brock or the employee.

Enforcement

Any employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

Policy Acknowledgment

Each employee assigned a computer or other IT equipment must sign a statement that they have read and understand the Information Technology policy. This acknowledgment will be retained by Human Resources.

Please refer to the Brock internal website, or contact your supervisor or Human Resources Manager, for the complete IT policy, or for more information on the terms and conditions relating to eligibility and use of Company IT resources.

6.05 - SOCIAL MEDIA

This Social Media Policy is intended to help Company employees understand social networking when it impacts Brock's employees, customers, suppliers, vendors, investors, or other third parties who deal with the Company. "Social networking," for purposes of this policy, includes all types of postings on the Internet, including, but not limited to, social networking sites, (such as Facebook® or LinkedIn®); blogs and other on-line journals and diaries; bulletin boards and chat rooms; micro-blogging, such as Twitter®; and the posting of a video on YouTube® and similar media.

This policy applies to social networking by all employees. That includes social networking while on or off duty, while using the Company's or personal electronic resources, and whether or not the employee posts anonymously or using a pseudonym.

Employees who engage in social networking should be mindful that their postings, even if done off premises and while off duty, could have an adverse effect on the Company's legitimate business interests. Social networking activities of employees are subject to the Code of Employer/Employee Relations (see 2.02) and all of the Company's policies.

Employees should observe the following guidelines whenever social networking activities identify you as a Brock employee or relates in any way to the Company's business, employees, customers, vendors, suppliers, or competitors:

- The Company has spent substantial time and resources building its reputation and good will. These are valuable and important corporate assets. When you engage in social networking that identifies yourself as an employee of the Company, or that relates to the Company, please consider whether you are damaging the Company's reputation.
- Make it clear to your readers that the views expressed are yours alone and do not reflect the views of the Company. If that is not obvious from your post, you should state, for example, "The views expressed in this post are my own. They have not been reviewed or approved by the Company."
- Avoid using statements, photographs, video or audio that reasonably could be viewed as malicious, obscene, threatening or intimidating, that disparage customers, suppliers, or the Company's services or that might constitute harassment or bullying. Examples of such conduct might include offensive posts meant to intentionally harm someone's reputation or posts that could contribute to a hostile work environment on the basis of race, sex, sexual orientation, disability, religion or any other status protected by law or Company policy.
- Do not identify customers, vendors, suppliers, or competitors by name without prior approval from the Company.
- Do respect the privacy rights of our customers and your fellow co-workers.

- Do respect the law regarding copyrights, trademarks, rights of publicity and other third-party rights.
- Do not infringe on the Company's logo, trademark or proprietary graphics, or photographs or videos of the Company's premises, processes, operations, or products.
- Do not disclose personal or contact information, or post photographs or video, of customers, co-workers or supervisors without their prior permission.
- You are more likely to resolve complaints about work by speaking directly with your co-workers, supervisor or other management-level personnel than by posting complaints on the Internet. Please consider using available internal resources, rather than social networking, to resolve these types of complaints.
- If someone from the media or press contacts you about your social networking activities, make clear that you are speaking only for yourself and not for the Company.
- Social networking also includes permitting or not removing postings by others where you can control the content of postings, such as on a personal profile or blog.

The following guidelines also apply to your social networking:

- You should not use any e-mail account that identifies you as a Company employee.
- Managers/supervisors should not send or accept "friend" requests to subordinates while on or off duty. Any employee may reject a friend request from any other employee without repercussion.
- All requests for references or recommendations, even those that are received through social networking, should be handled in accordance with the Company's standard policy for responding to such requests.
- Respect financial disclosure laws. It is illegal to communicate or give a "tip" on inside information to others so that they may buy or sell stocks or securities.
- Refrain from using social media while on working time or on equipment provided by the Company, unless it is work related and/or authorized by your manager.

Enforcement

The Company may, in its discretion, review your social networking activities to the fullest extent permitted by applicable law. Failure to comply with this policy may lead to discipline, up to and including termination. In appropriate circumstances, the Company will pursue all available legal remedies. The Company also may report suspected unlawful conduct to appropriate law enforcement authorities.

If you need clarification of any aspect of this policy, please contact your Human Resources Manager.

6.06 - MOBILE DEVICES

Eligible employees may be considered for or be provided a Company-owned mobile device for business use. Use of the Company mobile device for occasional, short personal calls is permissible. Extensive use of the Company device for personal use is prohibited.

Abuse of privileges and/or excessive costs incurred could lead to a loss of privileges and/or other disciplinary action, including a request for reimbursement at the discretion of the applicable Business Unit President or Department Head.

Employees must comply with site-specific rules regarding cell phone usage when on a third-party's property. Violation of site or customer safety rules may result in disciplinary action, up to and including termination of employment.

Compliance with Mobile Devices Policy

Any employee who willingly or willfully violates this policy may lose use of a Company mobile device and associated services, and may be subject to discipline, up to and including termination.

The use of hand-held phones is governed by the Company policy on Mobile Devices and the Fleet Driver Program. A copy of the policy is available on the Company's intranet. Please refer to the Brock intranet, or contact your supervisor or Human Resources Manager, for more information on the terms and conditions relating to eligibility and use of a Company mobile device.

6.07 - USE OF COMPANY PROPERTY

Theft, destruction, or willful abuse of Company or other property and equipment is prohibited.

No tools, materials, or equipment provided by the Company shall be used for personal use or removed from the physical confines of the company's location unless approved by the employee's functional area Vice-President or in operations the VP/General Manager.

Violations of this policy shall be grounds for immediate disciplinary measures, up to and including termination of employment.

6.08 - PERSONAL APPEARANCE

It is the policy of the Company that each employee's dress, grooming, and personal hygiene should be appropriate to the work situation. Employees are expected at all times to present a professional, business-like image to customers, prospects, and the public. Acceptable personal appearance, like proper maintenance of work areas, is an ongoing requirement of employment.

Radical departures from conventional dress or personal grooming and hygiene standards are not permitted. Any employee who does not meet the standards of this policy will be subject to disciplinary action, which may include being asked to leave the worksite/premises. Employees who report for work without proper equipment or attire may not be permitted to work. Non-exempt employees will not be compensated for any work time missed because of failure to comply with this policy.

Office Employees

Office workers and any employees who have regular contact with the public must comply with the following personal appearance standards:

- Employees are expected to dress in a manner that is appropriate for the business environment. Examples of inappropriate attire include but are not limited to: shorts, flip-flops, halter tops, or any attire that is revealing or offensive.
- Hair should be clean, combed, and neatly trimmed or arranged. Shaggy, unkempt hair is not permissible regardless of length.
- Sideburns, moustaches, and beards should be neatly trimmed.

Employees who do not regularly meet the public should follow basic requirements of safety and comfort, but should still be as neat and business-like as working conditions permit. At its discretion, the Company may occasionally allow employees to dress in a more casual fashion than is normally required. On these occasions, employees are still expected to present a neat, clean appearance and are not permitted to wear inappropriate clothing.

Site Employees

Certain employees may be required to meet special dress, grooming, and hygiene standards, such as wearing uniforms or safety equipment, depending on the nature of their job. Employees working at customer job sites or other locations where other requirements apply will be notified of those requirements and must comply with such requirements.

6.09 - CONFIDENTIALITY AND NON-DISCLOSURE

It is the policy of the Company that the internal business affairs of the organization, particularly confidential information and trade secrets, represent Company assets that each employee has a continuing obligation to protect.

Information designated as confidential may not be discussed with anyone outside the organization and may be discussed within the organization only on a "need-to-know" basis. In addition, employees have a responsibility to avoid unnecessary disclosure of internal information about the Company, its customers, and its suppliers acquired in the course of one's work. However, this employee responsibility to safeguard internal Company affairs is not intended to impede normal business communications and relationships.

Employees authorized to have access to confidential information may be required to sign special confidentiality/non-disclosure agreements and must treat the information as proprietary Company property for which they are personally responsible. Employees are prohibited from attempting to obtain confidential information for which they have not received authorization. Additionally, employees also are prohibited from using any Company information for their personal gain. Employees violating this policy will be subject to disciplinary action, up to and including termination, and may be subject to legal action.

All Company-related media inquiries (see the Media Inquiries and Disclosures policy 6.10) and other inquiries of a general nature concerning the Company should be referred to Company management. In addition, all press releases, publications, speeches, or other official Company declarations must be approved in advance by management.

6.10 – MEDIA INQUIRIES AND DISCLOSURES

As we grow as a Company, one of the challenges we face is ensuring that our communications with media or other persons/organizations seeking information about the Company are appropriately focused and consistent.

To assist in meeting this challenge, non-financial inquiries from, or potential communications with, media regarding Brock, including subsidiary organizations, or any of the companies or related events involving The Brock Group, including but not limited to, trade or industry journals and publications as well as local or national television, radio, newspaper, etc. must have the advance approval of either the Company's General Counsel or the Company's Chief Executive Officer (CEO). This review and approval must occur prior to the delivery/release of the communication.

Financial-related inquiries from outside parties (e.g. investment firms, media outlets, rating agencies, or other outside parties) must be directed to the Company's Chief Financial Officer (CFO).

6.11 - CONFLICTS OF INTEREST

It is the policy of the Company to prohibit its employees from engaging in any activity, practice, or conduct which conflicts or appears to conflict with the interests of the Company, its customers, or its suppliers. Since it is impossible to describe all of the situations that may cause or give the appearance of a conflict of interest, the prohibitions included in this policy are not intended to be exhaustive and only include some of the more precise examples.

Employees are expected to represent the Company in a positive and ethical manner. Thus, employees have an obligation to avoid actual or apparent conflicts of interest and to refer questions and concerns about potential conflicts to their supervisor.

Employees may not accept any employment relationship with any organization that does business with or competes with the Company. For additional information regarding outside employment see Section 2.11 – Outside Employment. This prohibition on employment includes serving as an advisor or consultant to any such organization, unless the activity is conducted as a representative of the Company.

Employees must disclose to the Company's General Counsel any actual or potential conflict of interest, including any financial interest they and/or their Immediate Family have in any organization that does business with the Company or that competes with the Company. If this type of conflict exists as of the effective date of this policy or should develop, it shall be the responsibility and mandatory obligation of the employee to promptly disclose the conflict. Failure to do so will result in disciplinary action, up to and including termination of employment. Such transactions will be prohibited except with the prior written approval of senior management upon complete disclosure of the facts and pursuant to Company procedures. The Company may require divestiture of the interest as a condition of continued employment if it considers the financial interest to be in conflict with its best interests.

Questions regarding what does or does not constitute a conflict of interest should be addressed with your manager or the Company's General Counsel.

6.12 - GIFTS AND ENTERTAINMENT

The purpose of business gifts and entertainment in a commercial setting is to create good will and sound working relationships, not to gain unfair advantage with customers. You may not accept gifts of more than nominal value, or entertainment which goes beyond common courtesies usually associated with accepted business practice, from any company which might be seeking our business. Likewise, you may not give gifts of more than nominal value, or entertainment which goes beyond common courtesies usually associated with accepted business practice, to any employee of a customer or potential customer.

It is particularly important that we respect our customers' internal rules regarding gifts and entertainment and avoid any inappropriate gifts to or entertainment of government officials. Many of our customers, and most government agencies, have strict rules regarding the acceptance by their employees of gifts, meals and entertainment from companies like ours. These rules are often included in our contracts with the customer. Prior to making the offer, you should confirm that the offer will not violate the policies of the recipient's employer. Avoid even the appearance of impropriety. Discuss with your supervisor or the General Counsel any gifts, proposed gifts or entertainment which you are not certain are appropriate.

We must be particularly careful with regard to gifts, meals, or entertainment to any official or employee of a U.S. or foreign government. The legal rules governing the offering of meals or entertainment to government employees are complex.

6.13 - IMPROPER PAYMENTS

The Company prohibits the payment or transfer of Company funds or assets to suppliers or customers in the form of actual or attempted bribes, kickbacks or other payoffs and prohibits your participation in any such scheme.

In addition, the Company requires full compliance with the U.S. Foreign Corrupt Practices Act (FCPA) and the anti-corruption laws of other countries. The Company maintains a separate Anti-Corruption and FCPA Policy.

Please contact the Company's General Counsel with any questions regarding improper payments.

6.14 - SMOKING/TOBACCO USAGE

It is the policy of the Company to comply with all applicable regulations regarding smoking/tobacco use in the workplace and to provide a work environment that promotes productivity and the well-being of its employees. "Smoking" includes the use of "e-cigarettes" or vaporized nicotine products known by "vaping."

Employees are expected to exercise common courtesy and to respect the needs and sensitivities of co-workers with regard to the Smoking/Tobacco Usage policy. Smoking areas should be established where non-smokers do not have use the area as a path to regular work assignments. Tobacco users have a special obligation to keep outdoor smoking areas litter-free and not to abuse break and work rules. Complaints about smoking or other forms of tobacco usage should be reported to the employee's supervisor or the site/office manager.

The Company may offer "stop-smoking" or tobacco cessation programs through a variety of sources. Contact Human Resources for more information.

Office-based Employees

Smoking is prohibited in enclosed workplaces where employees work or where employees have access in the course of working. Work areas, private offices, employee lounges, restrooms, conference rooms, classrooms, cafeterias, and vehicles are examples of workplaces. Smoking is prohibited outdoors within twenty-five (25) feet of building entrance and exit doors, wheelchair ramps serving the door, operable windows and air conditioner intake vents. Smoking may be allowed in designated area(s) that are specified by Company site management and at scheduled intervals. Managers responsible for Brock facilities have the responsibility for enforcing the proper utilization of the designated tobacco usage area(s). The smoking/tobacco usage policy applies to employees during working time and to customers and visitors while on the Company's premises, including Company-owned or leased vehicles and customer work sites.

Site Employees

Smoking is prohibited inside all Company facilities. Some worksites may have policies set by our customers that will take precedence over any Company policy and may allow smoking use with restrictions. All employees must be aware of and uphold smoking policies that apply at any customer worksite.

6.15 - DISCIPLINARY ACTION PROCEDURE

All employees are expected to comply with the Company's standards of behavior and performance. Any noncompliance must be corrected.

Under normal circumstances, the Company endorses a policy of progressive discipline in which it attempts to provide employees with notice of deficiencies and an opportunity to improve. The Company does, however, retain the right to administer discipline in any manner it sees fit. This policy does not modify the status of employees as employees-at-will or in any way restrict the Company's right to bypass the disciplinary procedures suggested.

Progressive disciplinary procedures may apply to an employee who repeatedly commits the same act of misconduct or an employee with a series of unrelated problems of performance or behavior. Newly hired employees may be subject to accelerated performance management and discipline.

Depending upon the nature and severity of the issue, the supervisor may disregard any part of the progressive discipline process and may suspend or terminate the employee immediately. The normal application of progressive discipline may include the following steps.

1. If the employee is not meeting Company standards of behavior or performance, the supervisor should:
 - a. Meet with the employee to discuss the matter.
 - b. Inform the employee of the nature of the problem and the action required to correct it.
 - c. Prepare and file documentation noting the meeting has occurred, the issues discussed and the required actions, including the timeline for correction.
 - d. Inform employee of the consequences if behavior or performance does not improve.
2. On the second occurrence the supervisor should hold another meeting with the employee with the same actions as Step 1. In addition, the supervisor should formally warn the employee that further incidents will cause more severe disciplinary action, up to and including a job-in-jeopardy warning of possible termination. A written warning may be issued and filed using the Company's Disciplinary Action form available from any Human Resource Manager.
3. With additional occurrences the following actions may be taken depending upon the severity of the conduct:
 - a. Written warning.
 - b. Suspension of employee with or without pay for up to 5 working days.
 - c. Termination.

Human Resources shall be consulted for instances of termination for cause or other non-routine disciplinary situations. If an employee disputes or has any questions relating to a disciplinary action, he is encouraged to work with his management, contact the Human Resources Manager for his Business Unit for assistance, or engage in the Employee Grievance procedure, 8.01.

SECTION 7: SAFETY AND HEALTH

7.01 - EMPLOYEE SAFETY

It is the policy of the Company to comply with all applicable federal, state, and local health and safety regulations, while providing a work environment that is free from recognized hazards. Safety is, first and foremost, a personal responsibility of each employee. Employees must comply with all safety and health requirements whether established by the Company or by federal, state, or local laws. Employees are encouraged to submit suggestions or concerns regarding safety and health matters to their supervisor and/or Safety Manager.

Employees must immediately report to their supervisor or the HSE Manager all observed safety and health violations, potentially unsafe conditions, property damage, near-misses, property losses, and any accidents resulting in injuries. Employees who become ill on the job or suffer any work related injury, no matter how minor, must report immediately to their supervisors. Supervisors will arrange an exam, treatment, and recording of the incident as necessary. Time spent by an employee in waiting for and receiving this medical attention will be considered hours worked for pay purposes.

Violations of Company safety rules, regulations, or procedures will result in disciplinary action, up to and including termination.

7.02 - FIREARMS AND WEAPONS

It is the policy of the Company to provide our employees with a safe work environment, free of violence. Employees are prohibited from storing, carrying, using, and/or possessing lethal weapons, firearms and/or ammunition while on the Company's premises, while engaged in conducting business on behalf of the Company, and/or at events sponsored by the Company, except as authorized in writing by the Sr. Vice President of Human Resources, or as authorized by applicable state or federal laws.

EXCEPTIONS: Certain non-lethal personal protection devices such as mace or pepper spray are exempt from this policy, although they may be prohibited by a local statute, organization, or customer.

Any vehicle that is owned or leased by the Company and is provided to the employee for use as part of their employment shall be considered a vehicle leased by the Company while it is being used by any employee in the course and scope of their employment for the Company. Subject to the provisions above, an employee may not store, carry, or possess a firearm(s) and/or ammunition in said vehicle while it is being used in the course and scope of employment for the Company, except as authorized by applicable state or federal law.

In connection with this policy, employees driving Company-owned or leased vehicles or personally-owned vehicles onto Company premises are deemed to have consented to a search of such vehicle for the presence of a weapon or firearm, except where such searches are prohibited by state or federal law. In addition, the Company reserves the right, when it has reasonable suspicion to believe that this policy has been violated, to search any employee suspected to be in the possession of a weapon or firearm. Except where prohibited by state law, this policy is expressly made a condition of employment and violation of this policy will be grounds for immediate termination.

7.03 - SUBSTANCE ABUSE / TESTING

The Company is committed to maintaining a drug-free workplace to promote both the quality of its services and the safety of its employees, its customers, and the public. Every employee is subject to the rules issued in this Substance Abuse/Testing Policy.

Prohibited Conduct

Every employee:

- Is prohibited from using, possessing, selling, purchasing, manufacturing, distributing or transferring illegal and/or prohibited substances or having possession of paraphernalia while on duty and/or on Company property.
- Is prohibited from being on Company property and/or reporting to work or performing work with a detectable amount of illegal and/or prohibited substances in their system.
- Is required to submit to a drug and/or alcohol test when directed by the Company.
- Is prohibited from tampering with (adulteration and/or substitution) or attempting to tamper with any drug test and/or interfering with the collection process.
- Is required to notify their supervisor immediately of any conviction for a drug and/or alcohol related crime.
- Shall promptly report to their supervisor whenever he/she is prescribed and/or uses any prescribed or over-the-counter medication that might affect the ability to perform an essential function of the job.
- Shall use medically authorized drugs and/or over-the-counter medications in a manner which will not affect the ability to perform any essential function of the job.

Searches

The Company may conduct unannounced searches for illegal substances, and/or drug paraphernalia in facilities where the Company is performing work and/or on Company property ("Company Facilities").

Entering Company Facilities constitutes consent to searches. Employees are expected to cooperate when such searches are conducted. An employee's consent to a search is required as a condition of continued employment and the employee's refusal to a search is a violation of this Policy.

Searches of employees and their personal property which include, but are not limited to lunch containers, briefcases, purses, backpacks, desks, work areas, lockers, and vehicles may be conducted when there is reasonable suspicion to believe that an employee is in violation of this Policy and/or when circumstances and/or workplace conditions justify them.

No employee will be touched as part of the search or detained without their consent. Employees being searched may be asked to empty pockets and remove hats and outer clothing including jackets, coveralls or slickers.

Illegal substances discovered on Company property will be turned over to the appropriate law enforcement agency. Any action taken by law enforcement agencies will be completely independent of this Policy.

Testing

To the maximum extent allowable under law, the Company shall have the right to require employees and/or applicants to undergo drug testing under certain circumstances and based on reasonable suspicion to confirm there has not been a violation of this Policy.

Drug testing will be performed by an independent drug testing service. Employees and/or applicants must comply with all procedures and protocols established by the independent testing service. An employee's/applicant's failure to submit to a drug test or to comply with all procedures and protocols established by the independent testing service is a violation of this Policy.

Employee Admission of Substance Abuse

Employees who voluntarily admit to substance abuse will be referred to a Substance Abuse Provider (SAP) evaluation. In order to qualify for referral to a SAP, the employee must make the admission of drug and/or alcohol abuse prior to being selected for a required test and it must be solely a self-admission.

The employee will not be permitted to return to work until the Company is satisfied the employee has been evaluated and has successfully completed education and/or treatment requirements as directed by a SAP.

Prior to the employee returning to work, the employee shall undergo a return-to-duty drug test with a verified negative test result and may be subject to periodic testing to verify continued compliance with this Policy.

Disciplinary Action

Violation of this policy shall result in immediate termination of employment.

7.04 - WORKERS' COMPENSATION

It is the policy of the Company to comply with the state laws governing Workers' Compensation and to aid any employee whose injury or illness is determined to be compensable under the provisions of the state's Workers' Compensation act. "State" refers to the reigning governmental authority for a location's Workers' Compensation program.

An employee who incurs a job-related illness or injury is required to report immediately to their supervisor/manager or the HSE Manager. The supervisor or manager will then follow the reporting procedures outlined in the Safety and Health Management Manual.

Any questions regarding Workers' Compensation issues should be directed to the employee's supervisor or Corporate Workers Compensation Claims Manager for that Business Unit.

SECTION 8: GRIEVANCES / DISPUTE RESOLUTION POLICY

The Company encourages employees to work through any concerns or issues they have with their direct supervisor or, where this is not appropriate or possible due to the situation, work with the next level of management to seek a resolution. Likewise, Human Resources is available to assist employees with issues as necessary. However, if it is believed that more formal action is required, the following options are available as outlined within this section.

8.01 - EMPLOYEE GRIEVANCES

It is the policy of the Company that all employees have the right to voice their complaints.

Should a condition exist which an employee feels is unsatisfactory, it is important that he bring it to the attention of the appropriate person in the appropriate manner. Normally that person is the employee's immediate supervisor. If the supervisor is the source of the complaint, the employee is to contact the next higher level of management or Human Resources, or the Company's AlertLine.

If the employee feels the problem remains unresolved following discussions with the supervisor, the employee may submit the complaint in writing for reconsideration. A written complaint is to be submitted to the Site Manager/Office Manager or Human Resources. In certain cases, the manager, supervisor and employee may wish to meet to provide a fuller explanation of the situation and the action taken. Normally, all complaints will be resolved by this step of the grievance procedure.

An employee who feels the complaint has not received adequate attention after management review may direct the written complaint to the corporate Human Resources Department. The Human Resources Department will review the complaint and the steps already taken.

If an employee is still dissatisfied with the Company response to the situation, the employee may then arrange for an independent arbitration/mediation as outlined in the Dispute Resolution Policy. An employee will not be penalized for presenting a good-faith complaint to the supervisor or to members of management.

See the Compliance Hotline / Brock AlertLine policy for more information about how to make an anonymous complaint or make the initial complaint with someone other than your immediate manager.

8.02 - DISPUTE RESOLUTION POLICY

All employees of the Company shall be subject to the Company's Dispute Resolution Policy for resolution of all matters relating to the employee's employment with the Company. This Dispute Resolution Policy shall be mutually binding on the Company and the employee and is a distinct and separate agreement from all other modifiable Company policy provisions. The employee acknowledges that the terms and conditions of the Dispute Resolution Policy has been provided to the employee as a separate document either through notice or as part of the employee's hiring package. In addition, the employee may request a copy of this policy at any time by contacting the Human Resources Department.

The Dispute Resolution Policy is a binding agreement and acceptance and/or continuation of employment with the Company constitutes knowing and voluntary acceptance and agreement to the terms and condition of the Dispute Resolution Policy. The Company hereby advises the employee to consult with legal counsel regarding the consequences of the Company's Dispute Resolution Policy. The Dispute Resolution Policy does not in any way alter the "at-will" status of the employment relationship.

SECTION 9: ADDENDUM – CALIFORNIA PROVISIONS

An Addendum containing Handbook provisions apply to employees working in the State of California is available on the Brock Home Page, or by request from your Business Unit leader or Human Resource Manager.

ACKNOWLEDGMENT OF RECEIPT OF EMPLOYEE HANDBOOK

Our Employee Handbook provides you valuable information regarding your employment with Brock (the "Company"). It is accessible using the web address shown on the right. This Handbook replaces (supersedes) all prior Handbooks for Brock as of December 1, 2016.

If you do not have a means for electronic access, you may request a hard copy of the Employee Handbook from your supervisor or by calling BrockConnect at 1-844-55-BROCK. You may also review a paper copy of the Employee Handbook kept at main office of your work location.

By signing below, you acknowledge you received access to a copy of the Handbook and agree to read the Employee Handbook thoroughly and follow all of the policies therein, including the statements in the foreword describing the purpose and effect of the Handbook. You understand and agree that the Employee Handbook does not create a contract between you and the Company and that if there is any policy or provision in the Handbook that you do not understand, you will seek clarification from management or from the Human Resources Department.

You further acknowledge and understand that the Company is an at-will employer and as such you understand that the Company does not offer permanent employment or employment for any specified or fixed period of time. Either the Company or you can terminate the employment relationship at any time, with or without cause, with or without notice. This employment-at-will relationship exists regardless of any other written statements or policies contained in this Handbook or any other Company documents or any verbal statement to the contrary. Only the CEO of the Company has any authority to enter into an agreement for employment for any specified period of time or to make an agreement for employment other than at-will.

Additionally, you acknowledge that the policies, rules and benefits described in the Handbook are subject to change at the sole discretion of the Company at any time. The Company will communicate changes on the Employee Handbook portal and through inter-company communication tools. You understand you are responsible to know what changes have been made.

Printed Name: _____

Signature: _____ Date: _____

Company: _____ EE #: _____

Last 4 digits of Social Security No: ___ ___ ___ ___



For additional information, please contact:

Brock Human Resources Department
Brock HR Hotline: (877) 564-9622