



## Sun Life Financial Workplace Discrimination and Harassment Prevention

### Introduction

Sun Life Financial (SLF) is committed to ensuring an inclusive and respectful work environment where all individuals are treated with dignity and respect. Every individual has the right to work in an environment free from discrimination and harassment. Workplace discrimination and harassment are unacceptable and will not be tolerated.

The purpose of this policy is to ensure that reasonable and practical measures are taken to prevent discrimination and harassment and to ensure a safe work environment for all individuals. Any breaches of this policy will result in disciplinary action up to and including termination of employment or contract.

The obligations outlined in this policy apply to all SLF employees in Canada (including its subsidiaries and affiliates) and contractors (including SLF advisors and their employees), collectively referred to as “workers” for the purpose of this policy, as well as all visitors. This policy applies to conduct on and off SLF premises. Offsite locations include sites where there are activities related to SLF business, including but not limited to, any SLF premises, customer locations, training programs, conferences and social settings, all of which are considered to be the workplace for the purposes of this policy.

### Definitions

**Discrimination** is differential treatment in employment or contracting, or denial of employment or contracting opportunities based on any of the prohibited grounds set out in human rights legislation. Discrimination does not have to be intentional or directed at a specific individual. It can result from practices and policies that appear to be neutral, but in reality may discriminate against groups or individuals under one of the protected grounds set out in the human rights legislation.

Prohibited grounds include: age, sex, sexual orientation, race, colour, ancestry, ethnic or national origin, citizenship, religion or creed, marital status, gender identity, gender expression, family status, pregnancy, disability, criminal offenses for which a pardon has not been granted, or any other grounds prohibited under the relevant provincial human rights legislation, as that legislation may be amended from time to time.

**Harassment** is a form of discrimination.

It is behaviour that has the purpose or effect of:

- Creating an intimidating, threatening, hostile or offensive work environment
- Unreasonably interfering with an individual’s work performance, employment or contractual opportunities and/or work environment

Harassment may take many forms including verbal, written, physical, visual or electronic. Harassment may include, but is not limited to behaviour such as the following:

- Jokes, comments, derogatory, degrading or insulting remarks or gestures
- Taunting or scapegoating
- Practical jokes which cause embarrassment, endanger safety or negatively affect work performance;
- Refusing to work with or cooperate with others
- Displaying, downloading or distributing offensive pictures or posters, computer screens or games, emails or other messages, graffiti or other material
- Verbal abuse or threats
- Threats or promises regarding job security, job opportunities or treatment based on accepting or rejecting harassing behaviour

**Sexual Harassment** is a particular form of harassment that involves unwelcome sexually-oriented behaviour based on sex, gender identity, gender expression or sexual orientation, where the course of comment or conduct is known to be unwelcome. It includes but is not limited to:



- Sexist, homophobic or sexually-oriented jokes or comments or derogatory, insulting or degrading remarks
- Sexually suggestive gestures, innuendoes or leering
- Sexually explicit or demeaning pictures or material, e.g. pin-ups, offensive computer screens or games, emails, graffiti or other material
- Unwelcome physical contact such as touching, pinching or patting
- Sexually-oriented practical jokes which are likely to cause embarrassment
- Inquiries or comments about an individual's body, sex life, relationships or physical appearance
- Unwelcome flirtation, advances or propositions
- Insisting on dates or sexual favours
- Any sexual advances from anyone who is in a position to grant or deny a benefit or advancement to the worker and the person knows or ought to reasonably know that the advance is unwanted
- Threats or promises regarding job security, job or contracting opportunities or treatment based on accepting or rejecting behaviours such as the above

Sexual or sexual orientation harassment may occur between individuals of the same or different sex, sexual orientation or gender expression.

**Workplace bullying and harassment** is engaging in a single or repeated course of vexatious comment or conduct against a worker in the workplace that is known or ought reasonably to be known to be unwelcome, and that adversely affects a worker's psychological or physical well-being, regardless of whether the comment or conduct is related to any prohibited human rights ground outlined in the applicable provincial human rights legislation for the province in which the conduct takes place.

Examples of workplace bullying and harassment could include:

- Verbal aggression, insults, or calling someone derogatory names
- Vandalizing personal belongings
- Sabotaging work
- Spreading malicious rumours
- Carrying out harmful or offensive initiation practices or hazing
- Making personal attacks based on a worker's private life or personal traits
- Making aggressive or threatening gestures
- Constant nitpicking/criticizing/flying off the handle especially over trivial or minor matters or mistakes

Cyber-bullying is another form of bullying and harassment. It can include sending harassing emails or text messages, or posting humiliating or intimidating information on social media or websites. Bullying can come from many sources including co-workers, supervisors and employers, or from external sources such as clients, customers, members of the public, or workers from other organizations. Each situation has to be considered in context. For example, yelling to warn someone about a hazard might be appropriate given the situation, but calling someone demeaning names in front of clients or other workers is not.

Workplace bullying and harassment **does not** include:

- A decision to change the work to be performed or job accountabilities
- Enforcement of regulatory or contractual obligations
- A change in working conditions
- Job assessments and evaluations
- Performance reviews or discussions
- Minor disagreements or differences in opinion between co-workers
- Disciplinary action
- Legitimate termination of employment or contract



## Responsibilities

### Individuals covered by this policy are required to:

- Abide by this policy
- Immediately report any and all incidents of discrimination, harassment or inappropriate conduct or behaviour to which they are subjected or that they witness
- Cooperate in a timely manner with the investigation and resolution of any reported breach of this policy

### Managers

All managers and advisors who employ others are responsible for setting a tone of respect in the workplace. Their obligations include the following:

- Understand, actively support and abide by this policy and ensure everyone on their team does so as well
- Take all reasonable and practical measures to prevent and protect workers and visitors against discrimination and harassment in the workplace
- Communicate SLF's commitment to maintaining a respectful workplace environment
- Not engage in, allow or condone behaviour contrary to this policy
- Take all complaints seriously, respond promptly and immediately report all complaints or incidents to Employment Practices

### Human Resources – Employment Practices

Employment Practices is responsible for:

- Providing advice and assistance concerning this policy
- Ensuring that an appropriate investigation is conducted
- Reviewing this policy on at least an annual basis and/or as legislative changes occur or may require
- Providing information, instruction and training as needed

## Complaint Procedure

### Reporting Complaints

- Any acts of workplace discrimination or harassment that take place in the workplace must be reported, whether the act is in progress or has already occurred.
- If you are being, or have been, discriminated against or harassed by a worker or third party (or if you are a witness):
  - Make it known to the other party (the respondent) that the behaviour is offensive and contrary to this policy. Keep a record of the behaviour, witnesses, the date you approached the other party, and the outcome
  - You may choose to use the Workplace discrimination, harassment and violence complaint form or report the incident by contacting any of your manager, Employment Practices, Legal, Sun Life Ethics hotline at 1-800-481-6966 or by email at [SLF\\_Code\\_of\\_Business\\_Conduct@sunlife.com](mailto:SLF_Code_of_Business_Conduct@sunlife.com) (available 24/7)
  - Any complaints of workplace harassment or discrimination will be assigned to the appropriate party for investigation. The investigator may be an internal resource, or may be an external party
  - This policy is not intended to discourage or prevent a worker from exercising any other legal rights pursuant to any other law, including filing a complaint with the applicable provincial human rights or occupational health and safety body, and requesting the assistance of an employment standards, human rights, or occupational health and safety officer to resolve the complaint.

## Corrective Action

Workers are required to cooperate with any investigation into a breach of this policy. Any retaliation or reprisal against any worker for filing a complaint under this policy or for co-operating in the investigation of such a complaint is strictly prohibited. Any worker who engages in such retaliation or reprisal will be subject to immediate disciplinary action, up to and including immediate termination of employment or contract. If it is determined that the complaint was deliberately frivolous or fictitious, appropriate disciplinary action may be taken against the worker who filed such false or frivolous complaint.



## Human Resources Procedure for Investigating and Resolving a Complaint

Once a complaint has been referred to Employment Practices, the following process will be used for investigating and resolving a complaint:

- After discussions with the person making a complaint (the “complainant”) and/or reporting manager and reviewing relevant documentation, Employment Practices will determine if the issue is one that falls under this Workplace Discrimination and Harassment Prevention Policy
- If the matter is deemed to be one of workplace harassment or discrimination, interviews of all relevant parties will be conducted as quickly and confidentially as possible in the circumstances by an investigator. Please note that confidentiality and anonymity are not the same thing. It may not be possible to investigate and obtain a full understanding of the issues and concerns without disclosing who has brought the matter forward. However, Human Resources will require a commitment to confidentiality from all those involved in a workplace harassment or violence investigation
- Information obtained about an incident or complaint of workplace harassment, including identifying information about any individuals involved, will not be disclosed unless the disclosure is necessary for the purposes of investigating or taking corrective action with respect to the incident or complaint, or is otherwise required by law
- The complaint will be investigated to the extent necessary to establish or refute its validity and determine an appropriate response. The investigation may involve review from other parties including Corporate Investigations Unit (CIU), Health and Safety, Legal, etc.
- If the incident involves a person who is not a worker, management or Human Resources may report the incident to that person’s employer and/or other person(s) as SLF determines appropriate for the situation.

Investigation process:

- Advise the complainant that making a good faith complaint will not result in any adverse employment consequences
- Advise the complainant that the notes concerning the investigation will not be placed in his/her HR or advisor file
- Review all relevant documentation
- Interview the complainant, the respondent, any witnesses and other parties believed to have knowledge of what happened and take appropriate notes of the interview
- Advise the complainant, the respondent, witnesses and others interviewed that they must maintain confidentiality concerning the complaint and the investigation and that reprisal for making a complaint or taking part in the investigation will not be tolerated
- If deemed necessary, ask interviewees to review and sign a summary of the interviews and confirm that the contents are accurate and fully describe the interviewees’ knowledge of the issues
- Document the investigation findings
- Present the investigation findings (along with any recommendations (if required) for corrective action and any other measures to be taken to resolve the situation and restore working relationships) to appropriate senior management
- Work with appropriate management to implement and document corrective action regarding the situation that reflects the severity of the behaviour, is consistent with action taken in comparable circumstances and reflects whether this was a first time or subsequent offense. Disciplinary action could range from a final warning up to and including termination of employment or contract
- Advise the complainant and respondent in writing of the outcome of the investigation and the steps taken to ensure the matter is properly addressed
- Request that the complainant advise the Employment Practices Consultant of any further incidents or any retaliation
- Involve the Joint Health and Safety Committee to develop any additional workplace procedures that may be required

## Review

This policy and procedure will be reviewed as needed, but at least annually, and made available to workers in the workplace.