Joycelyn L. Sprague LinkedIn: [Joycelyn Sprague](https://www.linkedin.com/in/joycelyn-sprague-274865bb/?msgControlName=reply_to_sender&msgConversationId=6163222181040906240&msgOverlay=true)

San Francisco Bay Area Email: [jkjess2009@gmail.com](about:blank)

Senior Technical Project Manager and Business Analyst

A versatile senior level technical project manager and business analyst with 20+ years of experience in successfully designing and delivering large, complex, enterprise-wide technology and non-technology solutions to production, on time and within budget. Proven success in creating business value by cultivating innovative thinking that in turn delivers creative, sustainable solutions developed to address business challenges, and/or enhance the organization’s current state of business. A strong leader, communicator, collaborator and problem solver with the aptitude to foster strong, confident relationships at all levels of the organization, mentor and manage global project resources and develop, maintain external relationships instrumental to the perpetuation of the organization’s growth and success. A detailed-oriented, well-spoken professional proficient in both AGILE and SDLC project management disciplines.

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| EXPERTISE: |  |  |
| Project Management (Agile/JIRA and SDLC) | * Business Analyst | Innovation Leader |
| Strategic Initiatives & Integrations | Asset Mergers & Broker Transitions | Collaboration Advocate |
| General Data Protection Regulation (GDPR) | * Change Management | Critical Thinker |
| Presentation Design & Delivery | * Forecast & Budget Control | Mentor & Team Builder |
| Contract Negotiation & Management | * Quality Control (QA & UAT) |  |
| Data Analyst & Management | * Issue Management & Risk Mitigation |  |
| Resource Allocation & Management | * Develop Policies & Procedures |  |
| Presenter/Trainer at National Conferences | * Application & Process End User Trainer |  |

**EXPERIENCE:**

**8/2017 to 4/2020 FRANKLIN TEMPLETON TECHNOLOGIES, San Ramon, CA.**

***IT Project Manager – FTT Collaborative Applications***

A collaborative project manager and business analyst responsible for managing the design and execution of custom and out of the box SharePoint sites available to the organization. Drove high profiled, enterprise-wide, non-SharePoint initiatives such as 1) procuring a solution to comply with the various General Data Privacy Regulations (GDPR) for unstructured data, and 2) designing and executing innovation opportunities (Technology/Business Hackathons) leading to cost reductions and resource efficiencies for several lines of business. Negotiated contracts and managed the vendor relationship for software such as: eDiscovery; Redaction; Prototyping; Citizen Development. Primary project management and tracking tools: JIRA; Project; SharePoint; Teams.

**Key Highlights:**

* Managed the necessary collaboration between the SharePoint team members and business stakeholders to define/lock-down project scope, business requirements and project deliverables. Team delivered custom and out of the box sites, using Classic and/or Modern SharePoint functionality. SharePoint is one of the primary collaboration tools used across the organization. Project management and tracking toolbox included: JIRA,
* Unstructured data subject matter expert for General Data Protection Regulations (GDPR) projects. Spearheaded the global project on the behalf of 18 technology stakeholders across four unstructured repositories: Exchange (premise/online); File Shares; SharePoint (premise/online); Yammer. Project activities included, but not limited to: Identify and lock-down project scope and requirements; analyze and document the current technology to identify the GAPs; conduct an in-house and external search for e-Discovery and redaction software solutions; execute the scorecard evaluation activity and proof of concept phase for the selected software; negotiate contract terms with the vendors meeting the GDPR regulatory requirements and Franklin’s compliance/risk requirements. Vendors entering the scorecard evaluation included: AvePoint; Microsoft; Veritas; Open Text/Redact IT. The GDPR projects were high profile initiatives due to the punitive fines assessed if the organization was found to be out of compliance with the regulation.
* Innovation leader for Franklin Templeton. Responsible for designing and executing global technology and business Hackathons. The Hackathon goals were to 1) coach Franklin employees on how to think innovatively, 2) promote cross department collaboration, 3) introduce cloud-based development and citizen development tools Franklin is moving towards (Microsoft Azure & Power Platform and Automation Anywhere Robotic Processing). The citizen development tools offered team members, with limited to no coding experience, the ability to automate repetitive, non-critical thinking activities resulting in a cost reduction for the organization by creating resource efficiency within the departments. Interfaced directly with the software vendors.
* Business analyst for the SharePoint 2016 migration to SharePoint Online. Completed the GAP analysis between the two versions. Communicated and trained the impacted users on the retirement of the existing features in SharePoint 2016 and the alternative features for SharePoint Online. The 18-month migration impacted the entire organization.
* Managed the vendor research, analysis, proof of concept, vendor negotiation, and integration of a cloud-based prototyping tool. To foster immediate, visual collaboration between technology and the business, a clickable prototyping tool was procured (Figma) to streamline the design and requirement process phase. The Global Digital Marketing/UX department adopted the tool, once realizing that the tool replaced several other tools in their toolbox.
* Spearheaded the technical implementation of 3rd party software, Brightidea, into Franklin’s infrastructure. Identified and coordinated the various activities from testing to the implementation of granting appropriate security access, transmitting/scheduling the delivery of active directory file to the vendor, creating/managing user profiles and vendor maintenance. Once in production, responsible for designing and maintaining Hackathon campaign sites using Brightidea. Brightidea is a crowd sourcing, idea management SAAS platform used across the Franklin enterprise to promote and foster innovation activities.
* Developed comprehensive project/marketing presentations for executive sponsor adoption. Presentations included: Data privacy and retention, e-Discovery and redaction, intent and structure of upcoming Hackathons and bias-free communication software.

**3/2005 to 12/23/2016 FIRST ALLIED SECURITIES, San Diego, CA. (Remote Employee)**

***Vice President – Project & Conversion Manager/Business Analyst, Operations***

**Applications Project Manager/Business Analyst**

Responsible for the project organization and execution of various proprietary applications for First Allied Securities and driving strategic initiatives/integrations sponsored by the parent company, Cetera Financial Services. Projects focused on 1) turn-key business and technology solutions available to the organization’s clients (investors and advisors) and 2) back-office enhancements/maintenance impacting departments such as: Asset Wealth Management; Business Consulting Group; Compliance and Risk; Commission Accounting and Finance; Operations; Recruiting; Securities & Licensing; Trading; Transitions (Advisor). These projects were critical to the continued success of attracting, retaining, and minimizing advisor attrition. Primary project management and tracking tools: DAPTIV; Gemini and JIRA; Project.

**Key Highlights:**

* Project Manager and Product Owner for a proprietary new account system. Managed the design and execution of the application from 2005 through 2016 (Product Owner from 2013 to 2016). The internal portal integrated with software that delivered the following features and functionality: AML/OFAC checks; Asset Management; Auto-generated new account forms required by First Allied and the respective clearing firm(s); Books & Records notifications; Electronic delivery of pre-populated forms for completion and signature via Docusign; Integration with the clearing firms; Mutual Fund Transactions (networked and non-networked); Trading restrictions. Worked with the vendors during the integration and managed the vendor relationships post integration (Docusign, Envestnet, JP Morgan, LaserApp, Lexis Nexis and Pershing).
* Integrated a 3rd party asset management platform (Envestnet) onto the new account system. Key initiative to attract, retain and mitigate advisor attrition by eliminating the step of opening and maintaining a separate account through Envestnet. Some of the benefits included the elimination of redundant new account and maintenance paperwork and the supervision of two separate systems.
* Go Paperless Adoption initiative was a high-profiled marketing campaign designed to educate and encourage investors to “Go Paperless” with statements. The four-month campaign ended with a 25% conversion from paper statements to electronic statements, thus meeting the business objective. The firm had an invested interest in reaching this adoption rate since the fee for paper statements would be assessed back to the firm.

**Key Responsibilities:**

* Planned and managed the project life cycle (SDLC) of proprietary applications and strategic initiatives/integrations (initiation, planning, SIT, UAT, training, implementation, post implementation and project closure).
* Business liaison responsible for understanding the firm’s structure, policies and operations to recommend solutions throughout the lifecycle of the project.
* Managed project resources.
* Forecasted, managed and reported project budget.
* Authored project charters, business & functional requirements document, user stories, use cases, UAT test scripts, and maintained product backlog.
* Wrote training, marketing, and reference materials. User manuals for internal and external users. Created process maps.
* “Trained the trainers” on the application, program, or change in workflow process.
* Communicated project health to all impacted audiences: business sponsors; steering committee; impacted departments and end-users.
* Risk Mitigation. Documented and managed issues. Escalated issues as needed.
* Negotiated and maintained vendor agreements.

**Asset Conversions Project Manager/Business Analyst**

Responsible for the planning and execution of Broker Dealer Conversions/Deconversions on the behalf of First Allied, Pershing LLC and JP Morgan/Chase. Scenarios span from bulk ACAT, tape to tape conversions (Pershing to Pershing) and existing custodian to new custodian conversions. Managed and signed off on the analysts, scrubbing and mapping of the extensive array of reference data files such as: name and address; holdings and cash balances; money market funds; cost basis; etc…. Prepared and facilitated extensive mock conversions with a go/no go decision made by the conversion team and the executive stakeholders. The activities associated with the advisor transition and the asset conversion required precise, successful management due to the negotiated conversion dates between First Allied and the respective clearing firm. Each asset conversion concluded with a 100% success rate leading to an increase in Assets Under Management for the firm. Primary project management and tracking tools: DAPTIV; Gemini and JIRA; Project.

**Key Responsibilities:**

* Project Manager/Business Analyst responsible for identifying the various tasks required to accomplish the objectives of the project within the negotiated timeline.
* Developed and executed the project plan based on the activities identified.
* Assigned tasks to the appropriate resources across the impacted departments. Managed resources through delivery of the task.
* Interfaced with a multitude of professionals: First Allied internal team members; transitioning broker dealer team members; clearing firm conversion and de-conversion team members; various outside vendors (mail-house and legal council).
* Main author of conversion related memorandums and operational procedures directed to the converting account holders, transitioning Advisors and First Allied internal team members.
* Forecasted, managed and reported project budget.
* Cash management analysis, mapping and coordination of CMA marketing materials and applications.
* Data analysis and management (account holder data and asset data).

**7/2000 to 2/2005 ROUND HILL SECURITIES, Alamo, CA. (2005 merger - First Allied Securities)**

***Vice President – Branch Development & Client Services***

**Key Highlights and Responsibilities:**

* Established and cultivated a Branch Development and Client Services Department dedicated to developing and maintaining the Advisor’s business relationship with the broker dealer’s internal departments.
* Managed the Transitions Department responsible for guiding new recruits through the process of changing broker dealers.
* Assisted the Recruiting Department with potential recruits during the initial discovery stages by assessing the recruits’ business requirements in order to match the services available through the broker dealer.
* Authored various internal and external materials such as Client Services Manuals, and Transition and Recruiting Guidelines.
* Created and implemented a strategic marketing campaign for a Limited Partnership product. Primary objectives: create a broker marketing kit and a power point presentation, introduce the product information to the broker dealer’s Nationwide Sales Force, and educate the Advisor’s on the product.
* Created and implemented a marketing plan to private label the Reserve Funds CMA products and services under the broker dealer’s name.
* Managed the Product Sponsor program.
* Coordinator of the Policy & Procedures Committee (PPC). Managed PPC issues, meetings, sub-committee meetings as well as provide ongoing professional knowledge in support of any new policies, and/or procedures. Responsible for writing the external policies and procedures and communicating the information to those individuals affected.
* Demonstrated Advent’s Portfolio Management Application, AXYS, to perspective and existing Advisors.

**SKILLS:** Collaborative Applications: Brightidea, Microsoft Stream & Teams, SharePoint, and Yammer

Clearing Firm Applications: Pershing (NetExchange 360), J.P. Morgan (MORCOMM Application)

Citizen Development Apps: Automation Anywhere RPA Tools and Microsoft Power Platform

Publishing Applications: Microsoft PowerPoint & Publisher

Project Tracking Applications: JIRA and Microsoft Project & Planner (Teams)

Video/Audio Applications: Skype for Business and Microsoft Teams

Administrative Applications: Office 365 tools

**EDUCATION:** *San Francisco State University, B.S. Business Administration/Minor Marketing and Advertising*

**LICENSES:** *FINRA Series 7 & 63 (inactive since 12/23/2016); SCRUM Alliance Certified (12/2013)*