Dorothea Dix Hospital Online Collection

IMLS National Leadership Grants for Libraries Proposal

By The Digital Archive of Medical History (DAMH)



Attached are the following components required for this application:

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- Appendix 2: First 50 Intake Ledger Records Redacted

The Dorothea Dix Hospital Online Collection—Abstract

Lead Applicant and Collaborators

The Digital Archives for Medical History (DAMH) is seeking \$243,542 from the IMLS National Leadership Grants for Libraries Program to support the one-year creation of our project entitled The Dorothea Dix Hospital Online Collection (DDHOC). The project will provide access to and promote the use of approximately 10,000 state records related to patients at Dorothea Dix State Mental Hospital from its opening in 1856 until the state mandated sequester date of 100 years ago. DAHM will employ a full-time temporary Project Manager and Archivist along with a full-time temporary Digital Technician and 3 part time Graduate Research assistants. All work will be overseen by the Project Director, a member of the staff at Wilson Library.

Need Addressed

DDHOC will provide public access, and a research ready tool for scholarly investigation for a significant portion of the Dix Hospital records. The project fulfills two major needs: to provide researchers access to a significant piece of American medical and mental health treatment history, and to provide a genealogical resource for the family members of the patients whose records make up the collection.

Project Activities

DAHM will negotiate loan agreements with the holding institution, transfer the records to our facility, digitize them and create metadata for new images. We will then transcribe the intake ledger records and add the information to a new database and load the images to our repository. We will also construct a website to act as a portal to the images and database. Redaction will take place as a secondary process before loading any images to the new website. We will create publicity materials, hold a launch event, and present the new collection at a conference on completion.

Project Beneficiaries

This project will make these important records accessible to the public and to researchers in a variety of fields. As an institution, DAMH will benefit by continuing to make available historical medical records and supporting their use in the study of medical history as well as fostering community engagement.

Intended Outcomes

DDHOC will provide access to a collection of the publicly available portion of the Dix Hospital records, create an estimated 10,000 digital images, and a database of transcribed information from the intake ledger; and advance scholarship by providing full online access to the records, the searchable database, and the full contents of the database as an Excel or CSV file.

Measuring Success

Success will be measured by the final processing to the page level of 10,000 patient records from the volumes of the collection. Progress will be tracked directly by the Project Manager/Archivist. In collaboration with the Project Director, reference to the project timeline will assist with tracking. There will be full team project meetings every month or on an as needed basis to monitor record production rates. Ultimately, providing an open-access platform with a focus on ease of online navigation of these records by professionals, genealogists and the public is key.

The Dorothea Dix Hospital Online Collection—Narrative

1) Project Justification

What do you propose to do?

The Digital Archives for Medical History (DAMH) is seeking \$243,542 from the IMLS National Leadership Grants for Libraries Program to support the one-year creation of our project entitled The Dorothea Dix Online Collection. Beginning on December 20, 2020, the project will provide access to and promote the use of approximately 10,000 state records related to patients at Dorothea Dix State Mental Hospital from its opening in 1856 until the state mandated sequester date of 100 years ago. DAMH will hire a fulltime temporary Project Manager and Archivist for a one-year, full-time term to oversee digitization and archiving efforts, plan timelines, train and oversee the graduate assistants, including metadata management. We will also hire a full-time temporary Digital Technician to design and manage the repository's web presence, and integrate the content management system. We will also hire three part-time Graduate Research Assistants for digitization and metadata entry, and transcription. All work will be overseen by the Project Director, a member of the staff at Wilson Library. By publishing the records and database on the DAHM website—and by releasing the digitized images through a Creative Commons license—the project will encourage widespread public use, and offer scholars a window into the history of medicine as practiced at Dix Hospital in the 19th and early 20th centuries.

What high-priority collections-related need, problem, or challenge will your project address, and how was it identified?

The Dorothea Dix Online Collection will provide public access, and a research ready tool for scholarly investigation for a significant portion of the Dorothea Dix Hospital Records. These records constitute a significant chapter in state history, the history of medicine, and the family histories of the patients. The project will provide useful access to a volume of records that is not easily examined without a digital gateway. We expect that the records serve two major needs. The first of which will be to provide researchers access to a significant piece of American medical history in general, and more specifically the history of mental health in the American South. The second of which will be to provide a genealogical resource for the family members of the patients whose records make up the collection.

Dorothea Dix State Hospital opened in 1856 and was the first such asylum for the mentally ill in North Carolina, and one of a generation that came about in the 19th century due to the activism of Dorothea Dix. During this period, the view of mental illness shifted from a primitive set of moral judgments to a medical approach we begin to recognize as modern. Primary source material from this early period is an invaluable resource for the study of history, especially the history of medicine, the social aspects of medicine, and for family historians seeking to shed light on parts of their family history that may be obscure.

The block of records in question includes two ledger books, twenty General Case books, and one volume of Medical Staff Minutes. DAHM has committed to digitizing all of the records we are allowed by state law, that is, up to the sequester date, 100 years back. These records were only recently exposed to public access in a change to state law in 2016, at which time DAHM undertook an exploratory examination of older state records pertaining to health and medicine. We discovered several interesting record groups, but these were the most voluminous, oldest, and most in need of digital support. Some of the records, particularly the earliest portion of the ledgers, are starting to deteriorate, so we will have to work carefully and with conservation in mind. But DAHM is motivated in part to digitize these resources to provide a surrogate in the interest of preserving the original.

The arrangement of these records in large volumes that are arranged in chronological order make them particularly hard to navigate. If the user is looking for a particular person, they would have to leaf through thousands of pages, even if they had some idea of the time that person was a patient at the hospital. Even with an exact date, one has to first consult the ledger and only then can one make sense of the general casebooks.

For researchers looking for particular kinds of cases, the task is nearly impossible. There is no way to sort, filter, and find records by diagnosis, age, gender, locale, or any of the otherwise useful information recorded. DAHM's database will alleviate the intractable nature of this record set for both scholarly and individual users.

DAHM appreciates the sensitive nature of the records and will redact the names of patients from the public facing web images and database, despite the fact that all of the records are well beyond any HIPAA regulation and are public record. DAHM recognizes that the availability of the records on the web changes the nature of access, and while it is for the better in those use cases we have outlined, there may be unintended negative consequences. Therefore we will make available a reference service for those family historians who can demonstrate a relationship to a patient and are searching for the complete records.

Who or what will benefit from your project?

- Medical researchers
- History of science researchers
- Genealogists

Dorothea Dix spent a significant portion of her life working to protect the rights of those with mental health needs. This type of commitment is recognized by DAMH as a vitally important step toward the consideration of superior mental health care and the rights of those in need. There is great importance in the continued study of the institutionalization of mental health, especially in the 19th and 20th centuries. Through The Dorothea Dix Online Collection, medical and history of science researchers will have direct access to archival materials in order to how patients and their symptoms were described along with larger issues surrounding the diagnosis and treatment of patients overall. The patient records provide important information into American medical system as a whole and specifically within the American south.

DAMH believes that the digitization of and access to archival materials is important for many reasons. It can be used as a genealogical resource for family members of patients whose records are located within the collection. There is growing interest in gaining ancestral knowledge purely out of curiosity. Discussion surrounding the nature of institutions such as these was seen as taboo. Access to this collection will help to provide information that could fill in gaps surrounding family members. With the rise of DNA testing services, the interest in information regarding hereditary medical history is on the rise.

While the records are available in person through the State Archives of North Carolina, we believe the ability to access them online will improve access to those living out of state or unable to travel. These records will be of importance to researchers internationally, as they offer an in depth look into mental health treatments at the turn of the twentieth century. With processing down to the item level, detailed metadata and full transcriptions, the archives will be an easily searchable web-based resource.

How will your project advance your institution's strategic plan?

The mission of our organization is to work with archives to increase access to historical medical documents, helping current and future medical researchers interested in learning about the evolution of diagnoses, treatment plans, and social views in the field.

As part of DAMH's 5-year strategic plan, we plan to increase the number of our collections that focus on mental health. Nearly all of our collections focus on physical health, and the lack of records addressing mental health is a clear gap in our holdings. To fully meet our mission of helping researchers learn about the evolution of diagnoses, treatment plans, and social views we must include historical medical documents related to mental health and mental health treatments.

One of the goals of DAMH is to "digitize primary source materials for use by medical and history of science researchers." This project will add 10,000 new records to our collections, and it will be the start of our collections focusing on mental health.

How will your project address the IMLS Strategic Goals?

This project aligns well with the IMLS strategic goals of public access and building capacity. The creation of a searchable database will allow meaningful access to records that would otherwise be difficult to search through in meaningful ways, even though they are nominally open to the public.

DAHM will create a research ready database and set of records that can be used for research that will increase the capacity for students of medical history to examine the body of records by facets of interest such as age, gender, diagnosis, and other attributes. Doing so opens up new avenues for research that would not otherwise be available.

2) Project Work Plan

What specific activities, including evaluation and performance measurements, will you carry out?

The Project Archivist and Project Manager will be responsible for negotiating loan agreements with the holding institution as well as for hiring and training of Graduate Assistants (GAs). The Project Archivist will arrange for temporary storage at Wilson Library as well as the packing and transportation of all materials. The project archivist will utilize her own personal transportation to bring the materials to and from the holding institution. This staff member will manage GA workflows and ensure that digitization progress occurs according to deadlines. They will periodically check the work of GAs to ensure adherence to appropriate standards.

The Digital Technician will be responsible for building the project's web presence, integrating that presence with the CDR and other existing digital repositories, implementing and maintaining the repository's content management system, and developing any other digital tools related to the project. The web presence will be entirely Drupal-based, ensuring easy integration with existing UNC systems and ease of maintenance for Wilson Library staff after the project's completion. Full compatibility and integration with the Carolina Digital Repository will be a primary goal. The website will not only include a publicly accessible online database for the digitized materials, but will

also host a genealogical service similar to the military records service hosted by NARA. Family members will be able to request digital copies of documents relating to family members who were patients at Dorothea Dix Hospital upon providing appropriate identification.

The GAs will move materials to and from their storage location at Wilson Library, utilize scanners (Zeutschel OS 12002) in Wilson Library's Digital Production Center (DPC) to create digital surrogates of all materials. The will then edit said surrogates to remove PII using Adobe Photoshop already installed on DPC machines, transcribe certain materials to be stored in PDF format, create metadata for all files created, and upload the files into the content management system.

The Project Archivist, Project Manager, and GAs will collaborate to produce publicity materials and plan for the project's launch. This will include blog and social media posts highlighting progress and special materials, press releases, and email newsletters. A launch event will be held at Wilson Library after all files have been scanned and uploaded the web presence has been prepared for launch. This event will include displays showcasing select materials, a presentation about the historical significance and relevance of the materials at hand, and refreshments. Website maintenance as well as genealogical service duties will be transferred to permanent Wilson Library staff.

Performance metrics will be strongly tied with the planned project deadlines. The Project Manager will ensure strict adherence to planned milestones listed in the project schedule. Both the Project Manager and the Project Archivist will hold weekly meetings with the GAs to ensure that digitization and transcription work continues on schedule. Progress towards each milestone will be tracked and any delays will be identified before the deadline and appropriate measures will be taken to put the project back on schedule. The Digital Technician will consult with staff members at the Carolina Digital Repository to ensure proper functioning of the project's web presence. The Digital Technician will also conduct limited user tests with GAs as prototypes of the websites become available. That being said, the success metrics will be in accordance with the major project goals: digitization of all records, transcription of the patient ledger, successful completion of the project's website (including the materials database and the genealogical interface), smooth completion of the launch event and successful transfer of web maintenance and genealogical duties to Wilson Library staff.

What are the risks to the project, and are they accounted for in the work plan?

Since we will be working with medical records, maintaining patient privacy is key. We are only including records that are at a minimum 100 years old, and all records included in our project are available in their uncensored forms for the public to view at the State Archives of NC. We are also removing all PII from the records that are available to

researchers, as a precautionary step to prevent malicious use of the records. To view a specific uncensored record for genealogical purposes, the researcher must provide proof of their familial connection to the patient in question.

Who will plan, implement, and manage your project?

The core staff will consist of a Project Manager, who is currently a full-time staff member at Wilson Library. This staff member will be responsible for liaison within the university and outside of it, all public statements and outreach, and ensuring adherence with project goals. We plan to hire a Project Archivist to manage the day-to-day activities of the project, including oversight of materials transportation and storage, ensuring adherence to metadata and preservation standards, managing Graduate Assistant (GA) workflows, and interfacing with the holding institution. The third full-time staff member will be the Digital Technician, who will handle all technical aspects of the project. This includes construction and maintenance of the project's web presence, operation and oversight of the content management system, and any related development tasks. The full-time staff will be assisted by three part-time GAs, who will be responsible for scanning, metadata entry, transcription, and any miscellaneous outreach-related activities that may arise. After launch, the project's genealogical service and web presence maintenance duties will be transferred to existing Wilson library personnel.

When and in what sequence will your activities occur?

After receiving the award, DAMH will immediately post job openings and descriptions for the Project Archivist and Digital Technician positions. We expect both of these staff members to begin work on January 2nd, 2020. During the months of January and February, the Project Manager and Project Archivist will work to negotiate loan agreements with the holding institution. Once this step has been taken, the Project Archivist will work to prepare for storage and transportation of the archival records. These records will include physical copies of the DDH's patient ledger as well as all associated individual patient records. During the months of January through March 2020, the Digital Technician will begin building digital storage infrastructure and implementing a content management system. The Digital Technician will also work with Wilson Library staff to gain familiarity with DPC scanners and ensure file format compatibility. The Digital Technician will also prepare digital image editing software for use by Graduate Assistants.

In April and May 2020, the Project Archivist will begin moving materials to Wilson Library. The Project Archivist will work to properly store materials as well as to facilitate organization which will allow easy and quick access by Graduate Assistants after digitization begins. The Project Archivist will devise and test a digitization workflow for Graduate Assistants to begin upon their arrival. During this time the Digital Technician

will begin to build the repository's web presence and to test for integration with the Content Management System. The Project Manager will create and publish job postings on the student-jobs list-serve for Graduate Assistants. The Project Archivist and Project Manager will interview and hire Graduate Assistants to begin work during the second half of May 2020.

From June through September 2020 the Graduate Assistants will move materials to and from storage in batches for scanning. They will store their scanned images on the appropriate server and assign files standardized filenames. They will then assign the proper metadata to the files and upload them into the content management system. The GAs will also rotate transcription duties during this time and will take turns writing blog and social media posts for outreach purposes. During this time the Digital Technician will continue to build the repository's web presence. The Project Archivist will move materials to and from the holding institution as needed, oversee the GA workflows, and periodically check metadata for standards adherence. The Project Manager will manage all outreach and liaison activities during this time.

The months of October and November 2020 will see the Project Archivist, the GAs, and the Project Manager working together to prepare for the project's launch. Space will be rented and accomodations made for the launch event in Wilson Library. Blog posts, social media activity, press materials, and email lists will promote the launch event. The Project Manager will work with UNC and genealogical organizations to promote the launch. The Project Archivist and Digital Technician will train Wilson Library staff on the maintenance of the repository as well as the operation of the public-facing genealogical service. The GAs will prepare press materials and help with event planning.

In December of 2020 the website and genealogical service will go public. The launch event will be held in Wilson Library. All duties associated with repository will be transitioned to previously designated and trained permanent staff at Wilson Library.

What time, financial, personnel, and other resources will you need to carry out the activities?

- Staff: Project Director (12 months, full time temporary with 30% annual salary); Project Archivist (12 months, full time temporary at 100%); Digital Technician (12 months, full time temporary at 100%), 3 Graduate Assistants (12 months, part time temporary at \$20,000 each)
- Supplies: The content management system software will likely be the largest cost for the project. Wilson Library is in possession of a high quality book scanner adequate to the needs of this project. We will need to budget for its use and maintenance.

• All other necessary equipment (computers, camera, etc.) and supplies are already in place at Wilson Library.

How will you track your progress toward achieving your intended results?

After the initial training period, the Project Director and Project Archivist will meet biweekly to track timeline progress and address any issues that arise. They will also plan to meet on an as-needed basis pending any necessary alterations to the timeline or further materials arrangement if ahead of timeline. The Project Archivist will be the point person for all digitization, transcription and outreach activities. The knowledge gained in this role will lend to consistent progress tracking. As the metadata manager, the project archivist will also be in charge of controlling content, quality and editing made by graduate students. They will work closely with the digital technician to insure timely transfer of materials to the web platform.

DAMH holds timeline data from past digitization projects that have been carried out. This data provides an evaluation system through which we can monitor progress through the current project. At this point, we know that the digitization portion of the project will take far less time than the transcription and web development. We believe that digitization will encompass % of the project hours given to graduate assistants.

How and with whom will your share your project's results?

Throughout the project, DAMH will promote the Dorothea Dix Hospital Online Collection through social media campaigns on Instagram, Facebook, and Twitter. Social media will mainly be used to post updates on the project and raise awareness. We are choosing not to share snippets of content from the collection on social media, due to the sensitive nature of the records we are working with. As people start using the collection in their research, we may share interesting projects that the data is being used for with researcher permission. Our graduate student assistants will also be in charge of each writing a monthly blog post about their experiences working on the project. These blog posts will be posted on DAMH's website and links to the post will be shared on social media.

Towards the end of the project, DAMH will host an on-campus launch event through Wilson Library. This event will be open to the public for attendance, and invitations will be sent to medical and history of science research centers in the area. A press release will also be sent to local media outlets in the area.

In the month preceding the launch of the project, announcements will be posted in both DAMH and professional publications and newsletters. We will also send two employees to present the project and final product at the 2021 Society of American Archivists conference.

3) Project Results

Referring to your Project Justification, describe your project's intended results that will address the need, problem, or challenge you have identified.

The Dorothea Dix Hospital Online Collection will give DAMH full intellectual and physical control over a collection of the publicly available portion of the Dix Hospital Records, create an estimated 10,000 digital images, and a database of transcribed information from the intake ledger; and advance scholarship by providing full online access to the records, the searchable database, and the full contents of the database as an Excel or CSV file.

How will access to the records that define the focus of your project improve?

Currently, the records are only viewable by visiting the State Archives of NC in Raleigh, North Carolina in person. Providing online, digital access to scans of these records will greatly expand the amount of people able to view the records and use them in their research.

The digital scans/files created during the project will all have item-level metadata and transcription. This will greatly improve accessibility of the records, and will also allow for different types of research to occur because of the large amounts of data that will be produced.

While the State Archives of NC will continue to have rights to the physical Dorothea Dix Hospital collection, UNC will maintain rights over the Dorothea Dix Hospital Online Collection.

What tangible products (ex: reports, inventories, catalogs, treatment plans, publication, presentations, and databases) will result from your project?

Tangible products from this project will include:

- Digital scans of approximately 10,000 state records
- Full transcription and item-level metadata for the records
- Integration of full resolution .jpgs into the Carolina Digital Repository
- A website housing lower resolution and redacted .jpgs
- A request service dedicated to genealogical requests

How will you sustain the benefits of your project?

After the completion of this project, only minimal active work will be required for the maintenance of the project. The records will be stored in the Carolina Digital Repository, so the upkeep of the records will be part of the regular scheduled maintenance of the repository. The only active work that will continue on the project will be responding to records requests from genealogical researchers. The researchers will use a request box built into the website, which will forward their request to an archivist whose duties will include responding to genealogical requests. We have designed the process so that it is not labor-intensive for the archivist, so this work should not make up a large part of their duties.

Organizational Profile

Digital Archives for Medical History (DAMH) is a university funded digitization organization that is partnered with Wilson Library and the School of Medicine on the campus of the University of North Carolina at Chapel Hill in Chapel Hill, North Carolina. The mission of our organization is to work with archives to increase access to historical medical documents, helping current and future medical researchers interested in learning about the evolution of diagnoses, treatment plans, and social views in the field.

DAMH currently employs five full-time staff members and two graduate student assistants. Some of our employees split their time working between DAMH and Wilson Library, which is the special collections library for the University of North Carolina. For the Dorothea Dix Hospital Online Collection, staffing will consist of three full-time staff and three graduate student assistants. The Project Director will be a pre-existing full-time staff member of the Digital Archives for Medical History (DAMH) and the duties associated with this position will be in addition to those for which this person is already responsible. The two other full-time staff members will be the project manager/archivist and the technical lead. The three graduate students will work twenty hours a week and will be responsible for digitization, metadata entry, transcription, and certain outreach activities.

This project would have a continuing impact on three communities. The first community is one that our department was created to serve, that of medical researchers. While we are located geographically near the UNC School of Medicine, Duke University School of Medicine, and the rapidly growing Research Triangle Park, the Dorothea Dix Online Collection will be able to reach an international audience. Digital Archives for Medical History (DAMH) has a unique opportunity to serve a community of researchers and practitioners in the field of medicine who are on the cutting edge of innovation. Digital access to the Dorothea Dix Hospital records would provide information on the histories of science, medicine, and mental health. The second community this project would serve is genealogists. Interest in genealogy has been growing in recent years, and prior to this project genealogists with relatives who were patients at Dix Hospital were only able to access the records at the State Archives of North Carolina. Our project would help family members gain access to the records of their relatives, while still maintaining the privacy of the patients and descendents through the use of an appointment-only digital service.

For this project we will be working with the UNC School of Medicine and Wilson Library. We have worked closely with both of these departments in the past, and look forward to continuing to strengthen our partnership in the future with this project. This project would be part of our newer mental health initiative within the Digital Archives for Medical History. Previously we've focused on the histories of physical illnesses, but with growing research and interest into mental health we felt it would be useful to expand our focus. With 1 in 5 adults experiencing mental illness every year, destigmatizing and understanding mental illness is integral to the medical field. In recent years the American Medical Association has taken steps to improve access to mental health resources for physicians and medical students, showing their dedication to understanding mental illnesses. As an archival institution, it is important that we provide

researchers with the materials needed to continue their research. This project will help fill in acknowledged weaknesses in our collections.

	Jan 20	Feb 20	March 20	April 20	May 20	June 20	July 20	Aug 20	Sep 20	Oct 20	Nov 20	Dec 20
Hire full-time staff (Archivist/Project Manager and Tech Lead												
Negotiate loan agreements with the holding institution												
Acquire and install digital storage infrastrure (Content Management System (CMS) and servers/hard-drives)												
Clear stack space in Wilson for temporary materials storage, arrange for periodic transport of materials to UNC from their holding institution												
Begin moving materials to UNC and preparing them for digitization process												
Website Construction/Testing												
Hire and train three student workers												
Scan and assign metadata to objects. Redact PII using photo- editing software for public copies												
Transcription of Intake Ledger Information					_							
Begin uploading content into CMS, to website												
Prepare promotional materials and run promotional campaign (emails, social media, genealogical organizations, & news media). Both full-time staff and student workers will participate												
Launch public-facing website, hold launch event at Wilson Library, transfer maintenance and genealogical service duties to Wilson staff												

- a. Legal name (5a from SF-424S):
- b. Requested Grant Period From: (MM/DD/YYYY) Through: (MM/DD/YYYY)
- c. If this is a revised budget, indicate application/grant number:

1. Salaries and Wages

Name/Title or Position	Yea	ar 1	Yea	ar 2	Yea	ar 3		Total	
Name/ fittle of Position	Grant Fund	Cost Share	Grand Total						
Subtotal									

2. Fringe Benefits

Rate and Base	Year 1		Yea	Year 2		ar 3	Total		
Rate allu Base	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grand Total
Subtotal									

a. Legal name (5a from SF-424S):

3. Travel

From /To and Durnose	Year 1		Yea	Year 2		ar 3	Total		
From/To and Purpose	Grant Fund	Cost Share	Grand Total						
Subtotal									

4. Supplies, Materials, and Equipment

lt ave	Year 1		Yea	ar 2	Yea	ar 3		Total	
Item	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grand Total
Subtotal									

5. Contracts and Subawards

Item	Year 1		Yea	Year 2		ar 3	Total		
item	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grand Total
Subtotal									

a. Legal name (5a from SF-424S):

6. Student Support

Item	Year 1		Yea	Year 2		ar 3	Total		
item	Grant Fund	Cost Share	Grand Total						
Subtotal									

7. Other Costs

Itam	Yea	ır 1	Yea	ar 2	Yea	ar 3		Total	
Item	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grand Total
Subtotal									

8. Total Direct Costs

	Year 1		Yea	Year 2		ır 3	Total		
	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grand Total
Subtotals (Items 1-7)									

a. Legal name (5a from SF-424S):

9. Indirect Costs (Read the instructions about Indirect Costs before completing this section.)

Current indirect cost rate(s) have been negotiated with a federal agency.	Name of Agency:	Expiration Date:
Indirect cost proposal has been submitted to a federal agency but not yet	Name of Agency:	Proposal Date:
finalized.		r opesar bate.
Applicant chooses a rate not to exceed 10% of modified total direct costs,	and declares it is eligible for the 10% rate.	
Applicant chooses not to include indirect costs.		

Rate and Base	Yea	ar 1	Yea	ar 2	Yea	ar 3		Total	
Rate allu Base	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grand Total
Indirect Costs Subtotal									

10. Total Project Costs

	Year 1		Yea	ar 2	Yea	ar 3	Total		
	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grant Fund	Cost Share	Grand Total
Total Direct & Indirect Costs									
Total Costs (excluding									
student support)									

Digital Archives for Medical History (DAMH) - Dorothea Dix Hospital Online Collection **Budget Justification**

1. Salaries and Wages

Project Director: This position works to guide the Dorothea Dix Hospital Online Collection project from beginning to end. They will monitor employee and student progress and negotiate access to the Carolina Digital Repository. The Director will also be the public face of the project for collaboration with other units and publicity. The Digital Archives for Medical History has chosen to hire Jo, an employee of the Wilson Library on UNC-Chapel Hill's campus. Jo will continue to work as a special projects manager within the Carolina Digital Repository while directing this digitization project. The project directly ties in Jo's former digitization project with the National Archives, digitizing records from St. Elizabeth's Psychiatric Hospital in Washington D.C., that Dorothea Dix herself advocated for. The hourly wages for this position will be paid by cost share with 30% of their wages (approximately 12 hours per week) will be covered by the IMLS grant. The pay rate for this position is \$25 an hour.

Project Manager/Archivist: This position will manage the digitization and archiving portion of the project day-to-day. This position is integral in overseeing progress of the timeline. They will manage all graduate student schedules and activities. The Project Manager will also take the lead on materials organization, transportation and care throughout the project's lifecycle. This is a full-time one year term position with salary paid for by the IMLS grant in full. The pay rate for this position is salaried at \$40,000 plus benefits. This rate is comparable to similar positions in the field.

Digital Technician: The digital technician will support all digitization efforts, including overseeing the content management system and integrating it with the website. DAMH will employ a fulltime technician for the course of the project to produce high quality digital records. They will also be responsible for designing the site, a key to this collection being made accessible to the community. This is a full-time position with wages paid for by the IMLS grant in full. The pay rate for this position is salaried at \$36,000. This rate is comparable to similar positions in the field.

2. Fringe Benefits

DAMH will follow UNC-Chapel Hill's guidelines for all fringe benefits for schedule 1 full-time employees. The project director, being employed through Wilson Library and will not require additional fringe benefits. Comprehensive health care for the Project Manager/Archivist and Digital Technician will include medical, dental, eye at a group plan at UNC's fixed health insurance rate of \$6306 per person. Additional Fringe Benefits include social security, retirement and PTO/sick leave. The total cost at a rate of 24.863% is \$9945.2 for the Project Manager/Archivist and \$8950.68 for the Digital Technician.

3. Travel

The Project Director and Project Manager will present the project at the 2020 Society of American Archivist annual conference. Conference presentations are key to being able to network and spread information about the importance of the project. The cost of 2 roundtrip flights from Raleigh/Durham, 4 nights of lodging, meals at \$60 per day and transportation to and from the airport of both ends have been calculated into the budget. Also included in the travel budget is funding for the transportation of the collection materials from the State Archives of North Carolina to UNC-Chapel Hill. We have allocated funding for 6 round trip 54.8 mile visits at the 2020 federal mileage rate of 58 cents per mile plus parking.

4. Supplies, Materials and Equipment

Hardware: Hard Drives, Software: Photoshop/Microsoft Office, Book Scanner Wilson Library is already in possession of a high quality book scanner adequate to the needs of this project. Its use will save the project purchasing a new piece of specialized equipment, but we will have to budget for its use and maintenance. The Zeutshel A1 OS 12000 is amortized at \$2000/year over a useful lifespan of 12 years and requires \$1000 year maintenance contract. In addition, smaller hardware items like external hard drives will be needed, as well as licensing of software and cloud storage for the large volume of large format files we will generate.

5. Contracts and Subawards:

N/A

6. Student Support

Three Graduate Assistants: Transcription: Much of the work involved in making these records accessible to the public will be that of transcription. Given the nature of these handwritten records, human transcription is the best option for clarity and accurate interpretation. GA's will also be responsible for the digitization and metadata entry, a key component of the project. They will be responsible for additional duties as assigned.

<u>Digital Archives for Medical History (DAMH) - Dorothea Dix Hospital Online Collection</u> <u>Staff List/Roles</u>

Project Director

This position handles all of the managerial duties of the repository. Along with her duties at the CDR, Jo will handle all liaison between the repository and upper management at Wilson Library as well as the original holding institution, the public, and other departments at UNC. She will be the public face of the repository and will be in charge of overall strategic direction of the repository. She will also oversee all outreach activities for the library, including press materials, social media, email lists, events, and blogs.

Project Manager/Archivist

This position handles the day-to-day oversight of all digitization and archiving efforts. It is this staff member's job to plan timelines and major milestones for the program as it progresses. Taylor will train and provide oversight for the graduate assistants, including metadata management. This position includes management for the transportation of collection materials from the holding institution to UNC and back, as well as storage and care while at UNC. Taylor will be the point of contact for all day-to-day interactions with the holding institution.

Digital Technician

The digital technician will be the technical lead for the project. Alex will design and manage the repository's web presence. All activities and duties required to operate the content management system and integrate it with the repository's web presence will fall under this position's umbrella. The Digital Technician will also be responsible for any development tasks related to the completion of the project.

Graduate Assistant

Each graduate assistant will be responsible for the digitization and metadata entry of Dorothea Dix materials. GAs will also be responsible for the transcription of materials to the extent possible and permissible. GAs may also be called on for other tasks as needed, including, but not limited to, social media posts, blog writing, and other outreach activities.

Graduate Assistant

Each graduate assistant will be responsible for the digitization and metadata entry of Dorothea Dix materials. GAs will also be responsible for the transcription of materials to the extent possible and permissible. GAs may also be called on for other tasks as needed, including, but not limited to, social media posts, blog writing, and other outreach activities.

Graduate Assistant

Each graduate assistant will be responsible for the digitization and metadata entry of Dorothea Dix materials. GAs will also be responsible for the transcription of materials to the extent possible and permissible. GAs may also be called on for other tasks as needed, including, but not limited to, social media posts, blog writing, and other outreach activities.



DIGITAL PRODUCT FORM

INTRODUCTION

The Institute of Museum and Library Services (IMLS) is committed to expanding public access to digital products that are created using federal funds. This includes (1) digitized and born-digital content, resources, or assets; (2) software; and (3) research data (see below for more specific examples). Excluded are preliminary analyses, drafts of papers, plans for future research, peer-review assessments, and communications with colleagues.

The digital products you create with IMLS funding require effective stewardship to protect and enhance their value, and they should be freely and readily available for use and reuse by libraries, archives, museums, and the public. Because technology is dynamic and because we do not want to inhibit innovation, we do not want to prescribe set standards and practices that could become quickly outdated. Instead, we ask that you answer questions that address specific aspects of creating and managing digital products. Like all components of your IMLS application, your answers will be used by IMLS staff and by expert peer reviewers to evaluate your application, and they will be important in determining whether your project will be funded.

INSTRUCTIONS

If you propose to create digital products in the course of your IMLS-funded project, you must first provide answers to the questions in **SECTION I: INTELLECTUAL PROPERTY RIGHTS AND PERMISSIONS.** Then consider which of the following types of digital products you will create in your project, and complete each section of the form that is applicable.

SECTION II: DIGITAL CONTENT, RESOURCES, OR ASSETS

Complete this section if your project will create digital content, resources, or assets. These include both digitized and born-digital products created by individuals, project teams, or through community gatherings during your project. Examples include, but are not limited to, still images, audio files, moving images, microfilm, object inventories, object catalogs, artworks, books, posters, curricula, field books, maps, notebooks, scientific labels, metadata schema, charts, tables, drawings, workflows, and teacher toolkits. Your project may involve making these materials available through public or access-controlled websites, kiosks, or live or recorded programs.

SECTION III: SOFTWARE

Complete this section if your project will create software, including any source code, algorithms, applications, and digital tools plus the accompanying documentation created by you during your project.

SECTION IV: RESEARCH DATA

Complete this section if your project will create research data, including recorded factual information and supporting documentation, commonly accepted as relevant to validating research findings and to supporting scholarly publications.

SECTION I: INTELLECTUAL PROPERTY RIGHTS AND PERMISSIONS

A.1 We expect applicants seeking federal funds for developing or creating digital products to release these files under open-source licenses to maximize access and promote reuse. What will be the intellectual property status of the digital products (i.e., digital content, resources, or assets; software; research data) you intend to create? What ownership rights will your organization assert over the files you intend to create, and what conditions will you impose on their access and use? Who will hold the copyright(s)? Explain and justify your licensing selections. Identify and explain the license under which you will release the files (e.g., a non-restrictive license such as BSD, GNU, MIT, Creative Commons licenses; RightsStatements.org statements). Explain and justify any prohibitive terms or conditions of use or access, and detail how you will notify potential users about relevant terms and conditions.
A.2 What ownership rights will your organization assert over the new digital products and what conditions will you impose on access and use? Explain and justify any terms of access and conditions of use and detail how you will notify potential users about relevant terms or conditions.
A.3 If you will create any products that may involve privacy concerns, require obtaining permissions or rights, or raise any cultural sensitivities, describe the issues and how you plan to address them.

SECTION II: DIGITAL CONTENT, RESOURCES, OR ASSETS **A.1** Describe the digital content, resources, or assets you will create or collect, the quantities of each type, and the format(s) you will use. A.2 List the equipment, software, and supplies that you will use to create the digital content, resources, or assets, or the name of the service provider that will perform the work. A.3 List all the digital file formats (e.g., XML, TIFF, MPEG, OBJ, DOC, PDF) you plan to use. If digitizing content, describe the quality standards (e.g., resolution, sampling rate, pixel dimensions) you will use for the files you will create. Workflow and Asset Maintenance/Preservation **B.1** Describe your quality control plan. How will you monitor and evaluate your workflow and products?

B.2 Describe your plan for preserving and maintaining digital assets during and after the award period Your plan should address storage systems, shared repositories, technical documentation, migration planning, and commitment of organizational funding for these purposes. Please note: You may charge the federal award before closeout for the costs of publication or sharing of research results if the costs are not incurred during the period of performance of the federal award (see 2 C.F.R. § 200.461).
Metadata
C.1 Describe how you will produce any and all technical, descriptive, administrative, or preservation metadata or linked data. Specify which standards or data models you will use for the metadata structure (e.g., RDF, BIBFRAME, Dublin Core, Encoded Archival Description, PBCore, PREMIS) and metadata content (e.g., thesauri).
C.2 Explain your strategy for preserving and maintaining metadata created or collected during and after the award period of performance.

C.3 Explain what metadata sharing and/or other strategies you will use to facilitate widespread discovery and use of the digital content, resources, or assets created during your project (e.g., an API [Application Programming Interface], contributions to a digital platform, or other ways you might enable batch queries and retrieval of metadata).
Access and Use
D.1 Describe how you will make the digital content, resources, or assets available to the public. Include details such as the delivery strategy (e.g., openly available online, available to specified audiences) and underlying hardware/software platforms and infrastructure (e.g., specific digital repository software or leased services, accessibility via standard web browsers, requirements for special software tools in order to use the content, delivery enabled by IIIF specifications).
D.2 . Provide the name(s) and URL(s) (Universal Resource Locator), DOI (Digital Object Identifier), or other persistent identifier for any examples of previous digital content, resources, or assets your organization has created.

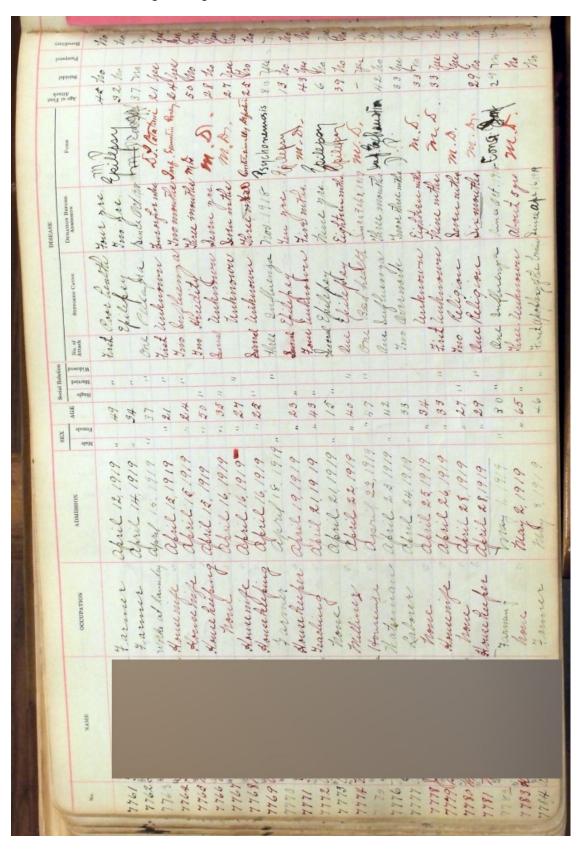
SECTION III: SOFTWARE General Information A.1 Describe the software you intend to create, including a summary of the major functions it will perform and the intended primary audience(s) it will serve. A.2 List other existing software that wholly or partially performs the same or similar functions, and explain how the software you intend to create is different, and justify why those differences are significant and necessary. **Technical Information** B.1 List the programming languages, platforms, frameworks, software, or other applications you will use to create your software and explain why you chose them.

B.2 Describe how the software you intend to create will extend or interoperate with relevant existing software.											
B.3 Describe any underlying additional software or system dependencies necessary to run the software you intend to create.											
B.4 Describe the processes you will use for development, documentation, and for maintaining and updating documentation for users of the software.											
B.5 Provide the name(s), URL(s), and/or code repository locations for examples of any previous software your organization has created.											
software your organization has created.											

Access and Use	
C.1 Describe how you will make the software and source code available to the public and/ousers.	or its intended
C.2 Identify where you will deposit the source code for the software you intend to develop	:
Name of publicly accessible source code repository:	
URL:	
SECTION IV: RESEARCH DATA	
As part of the federal government's commitment to increase access to federally funded respection IV represents the Data Management Plan (DMP) for research proposals and should management, dissemination, and preservation best practices in the applicant's area of research propriate to the data that the project will generate.	d reflect data
A.1 Identify the type(s) of data you plan to collect or generate, and the purpose or intended which you expect them to be put. Describe the method(s) you will use, the proposed scope and the approximate dates or intervals at which you will collect or generate data.	

A.2 Does the proposed data collection or research activity require approval by any internal review panel or institutional review board (IRB)? If so, has the proposed research activity been approved? If not, what is your plan for securing approval?
A.3 Will you collect any sensitive information? This may include personally identifiable information (PII), confidential information (e.g., trade secrets), or proprietary information. If so, detail the specific steps you will take to protect the information while you prepare it for public release (e.g., anonymizing individual identifiers, data aggregation). If the data will not be released publicly, explain why the data cannot be shared due to the protection of privacy, confidentiality, security, intellectual property, and other rights or requirements.
A.4 What technical (hardware and/or software) requirements or dependencies would be necessary for understanding retrieving, displaying, processing, or otherwise reusing the data?
A.5 What documentation (e.g., consent agreements, data documentation, codebooks, metadata, and analytical and procedural information) will you capture or create along with the data? Where will the documentation be stored and in what format(s)? How will you permanently associate and manage the documentation with the data it describes to enable future reuse?

Appendix 1: Redacted Ledger Image



IL number IL occupa	at IL admission	IL gender	IL age IL marital	II. number	IL suppose	II. duratio	IL form	IL age of	II. intake	IL nativity	IL residen	II. numbe	IL discharge or	IL residen IL final o	d IL_remarks ledger_page_link			
0 Laborer		M	44 Married		Heredity +		C. Melanci	32		N.C.	Halifax			1 1y;11m;10 Cured	Discharged, Restored.			
0 Laborer	1899-03-21	M	44 Married		Heredity +			32		N.C.	Halifax			1 1y;11m;10 Cured	Discharged, Restored.			
1 Farmer	1853-06-03	M	19 Single		Epilepsy		Epilepsy	16		NC	Craven	1	1858-06-14					
	a 1856-02-22	M	28 Single		Exposure t	4 months	Mania	20		N.C.	Rockingha		1856-05-08	3m;16d cured				
2 Laborer	1856-02-29	M	30 Single			5 years	Epilepsy	25		N.C.	Wake		1856-05-29	died	One or more relatives insane			
3	1856-03-01	F	37 Widowed		Domestic 1	-	Mania	23		N.C.	Orange		1890-02-04	33y;8m;29 died	Maternal great aunt insane, i	nfluenza heart	failure	
4 Laborer	1856-03-05	F	31 Married		Unknown	20 / Cuis	Mania	2.0		N.C.	Wake		1871-05-19	15y;2m;24 improved			lunure	
5 Laborer	1856-03-05	F	34 Single		Unknown	11 years	Mania	23		N.C.	Wake		1858-04-20	died	Great uncle died of pneumor			
6 Farmer	1856-03-05	M	26 Single			7 years	Epilepsy	19		N.C.	Nash		1860-10-06	died	Phthisis Pulmonalis			
7 Farmer	1856-03-10	M	36 Single		Unknown		Dementia	21		N.C.	Wake		1858-04-07	died				
8	1856-03-12	F	49 Single		Unknown		Imbecile	46		N.C.	Alamance		1860-07-17	died	two ancestors insane			
9	1856-03-12	F	40 Single			6 years	Mania	34		N.C.	Granville		1861-06-01		Mother insane		-	
10 Farmer	1856-03-12	M	27 Single		Unknown		Melanchol	26		N.C.	Johnston		1856-06-30	cured				
11 Laborer	1856-03-15	М	38 Single			20 years	Dementia	18		N.C.	Mecklenbu		1871-06-14		Removed to make room for a	cute cases from	m Mecklent	ourg County
12	1856-03-21	F	32 Single		Unknown	,	Imbecile		_	N.C.	Granville		1859-11-25	removed				
13	1856-03-29	M	30 Married		Domestic t		Mania	28		N.C.	Surry		1860-03-09	removed				
14 Laborer	1856-03-29	M	47 Single			15 years	Epilepsy	32		N.C.	Washingto		1860-06-12	died	Chronic Diarrhea			
15 Laborer	1856-04-05	F	35 Single		Unknown		Mania	28		N.C.	Chatham		1865-09-10	died	Typhoid Fever			
16 Farmer	1856-03-05	М	23 Single		Blow on he		Dementia	17		N.C.	Cumberlan		1872-07-23		By Order of Ex. Com.			
17 Farmer	1856-03-08	М	38 Single		Religious E		Imbecile	32		N.C.	Bertie		1857-03-24	died	,			
18 Farmer	1856-04-09	М	24 Single		Masturbat		Mania			N.C.	Granville		1878-06-26	21y;10m;1 died	Exhaustion from Chronic Ma	nia		
19 Laborer	1856-04-09	М	30 Single;Mar		Intempera		Mania	28		N.C.	Cleveland		1865-03-31	,, , , , , , , , , , , , , , , , , , , ,				
20 Laborer	1856-04-10	М	19 Single			9 years	Epilepsy	10		N.C.	Hyde		1862-10-10					
21	1856-04-10	F	30 Single			9 years	Dementia	19		N.C.	Franklin	21		3y;9m;4d died	Paralysis			
22	1856-04-15	F	33 Single			15 years	Imbecile	28		N.C.	Guilford	1	1856-02-25	died	Marasmus			
23	1856-04-15	F	50 Widowed		Domestic 1	_	Mania	44		N.C.	Beaufort		1860-05-24	died	Dysentery			
24 Laborer	1856-04-16	М	50 Single		Intempera		Mania	41		N.C.	Franklin		1866-01-21	died	Typhoid Fever			
25 Farmer	1856-04-16	М	35 Single		Unknown		Mania	34		NC	Randolph	25	1860-07-01	cured				
26 Farmer	1856-04-16	М	26 Single		Masturbat		Imbecile	24		N.C.	Montgome		1863-03-23	died	General Dropsy		<u> </u>	
27 Laborer	1856-04-16	М	40 Single		Unknown		Mania			N.C.	Beaufort		1856-11-06		1 1 1			
28	1856-04-16	F	18 Single		III Health		Mania	18		N.C.	Davidson		1858-10-15	removed				
29	1856-04-23	F	23 Single		unknown		mania			nc	Bertie		1881-07-26	25y;0m;14 died	typhoid fever and prostrated	from mania		
30	1856-04-25	F	38 Single	1	Unknown	18 yrs	Dementia	20		N.C.	Orange	1	1856-12-01	cured				
31	1856-04-28	F	37 Widowed		Unrequited		Mania	24		N.C.	Orange		1863-09-02	died	Died of Dysentery			
32 Laborer	1856-05-02	М	27 Single	1	Epilepsy	8 yrs	Epilepsy	19		N.C.	Anson	1	1856-12-31					
33 Farmer	1856-05-02	M	28 Single	2	III health	4 yrs	Mania	24		N.C.	Anson	1	1856-12-31	removed				
34 Farmer	1856-05-09	М	32 Single	1	Unknown		Mania	30		NC	Wake	1	1871-12-19	15y;5m;28d	By order of exec committee			
35 Farmer	1856-05-09	М	46 Single	1	Unknown		Dementia	21		NC	Gaston	1	1865-06-15	died	Died from marasmus			
36 Farmer	1856-05-13	M	45 Single	1	III Health		Dementia	15		NC	Forsyth		1860-01-25	died	Phthisis			
37 Farmer	1856-05-13	M	56 Single	1	Unknown		Dementia	22		NC	Chowan	1	1856-08-15	cured				
38 Laborer	1856-04-20	M	31 Married	1	Unknown		Mania	25		North Card	Franklin	1	1856-08-26	improved	;removed			
39 Physician	1856-05-24	M	30 Single	1	Unknown		Imbecile	26		North Card	Guilford	1	1864-06-05		unimproved			
40 School Te	a 1856-05-29	M	61 Single	1	Disappoint	ed Love	Imbecile	41		North Card	Franklin	1	1860-02-20	cured				
41	1856-05-30	F	45 Single		Loss of Par		Mania	39		North Card			1858-01-23	died	Died Typhoid Fever			
42 Printer	1856-05-31	М	18 Single	1	Unknown		Mania	18		North Card	Guilford	1	1866-04-09	improved				
43	1856-06-02	M	39 Single	1	Convulsion	30 yrs	Idiot	9		N.C.	Granville	1	1856-12-01	cured				
44 Farmer	1856-06-02	М	26 Single	1	Unknown	6 yrs	Dementia	20		N.C.	Caswell	1	1856-08-18	cured				
45 Farmer	1856-06-02	M	Married		unknown		mania	25		NC	Burke		1857-02-18	removed				
46 Farmer	1856-06-03	M	19 Single	1	Epilepsy		Epilepsy	16		NC	Craven	1	1858-01-14					
47 Laborer	1856-06-04	M	52 Not Indica	1	Unknown	7 yrs	Imbecile	45		N.C.	Craven	1	1859-11-02					
48 Laborer	1856-06-04	M	40 Married	1	Unknown		Dementia	35		NC	Craven	1	1858-05-12	15y;5m;28 improved	;removed			
49 Laborer	1856-06-04	М	47 Married	1	Unknown		Imbecile	39		North Card	Craven Co	1	1860-07-01	cured				
50 Laborer	1856-06-05	M	40 Single	1	Unknown		Imbecile	22		North Card	Yancey Cty	1	1883-03-23	died	General dropsy			
	•														• • • • • • • • • • • • • • • • • • • •			