

Return of Organization Exempt from Income Tax

2001

Under Section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code
(except black lung benefit trust or private foundation)

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

▶ The organization may have to use a copy of this return to satisfy state reporting requirements.

A For the 2001 calendar year, or tax year beginning Oct 1, 2001, **and ending** Sep 30, 2002

B Check if applicable:
 Address change
 Name change
 Initial return
 Final return
 Amended return
 Application pending

C Name of organization
Prevention Institute
 Number street (or P O box if mail is not delivered to street addr) Room/suite
265 - 29th Street
 City, Town or Country State ZIP code + 4
Oakland CA 94611

D Employer Identification Number
94-3282858

E Telephone number CT 108974
(510) 528-4482

F Accounting method. Cash Accrual
 Other (specify) ▶

• Section 501(c)(3) organizations and 4947(a)(1) nonexempt charitable trusts must attach a completed Schedule A (Form 990 or 990-EZ).

G Web site: ▶ www.preventioninstitute.org

J Organization type (check only one) 501(c) 3 (insert no) 4947(a)(1) or 527

K Check here if the organization's gross receipts are normally not more than \$25,000. The organization need not file a return with the IRS, but if the organization received a Form 990 Package in the mail, it should file a return without financial data. Some states require a complete return.

H and I are not applicable to Section 527 organizations

H (a) Is this a group return for affiliates? Yes No

H (b) If 'yes,' enter number of affiliates ▶

H (c) Are all affiliates included? Yes No (If 'no,' attach a list. See instructions.)

H (d) Is this a separate return filed by an organization covered by a group ruling? Yes No

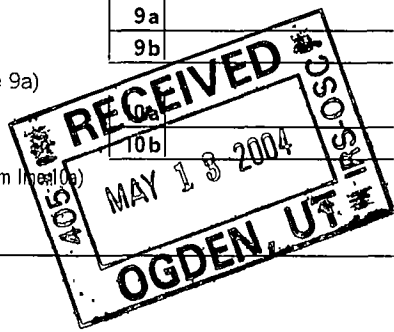
I Enter 4-digit group GEN. ▶

M Check if the organization is not required to attach Schedule B (Form 990, 990-EZ, or 990-PF)

L Gross receipts: Add lines 6b, 8b, 9b, and 10b to line 12 ▶ 1,151,498.

Part I Revenue, Expenses, and Changes in Net Assets or Fund Balances (see instructions)

1 Contributions, gifts, grants, and similar amounts received:				
a Direct public support	1a	176,210.		
b Indirect public support	1b			
c Government contributions (grants)	1c	488,447.		
d Total (add lines 1a through 1c) (cash \$ 664,657. noncash \$ 0.)			1d	664,657.
2 Program service revenue including government fees and contracts (from Part VII, line 93)			2	478,436.
3 Membership dues and assessments			3	
4 Interest on savings and temporary cash investments			4	8,405.
5 Dividends and interest from securities			5	
6a Gross rents	6a			
b Less: rental expenses	6b			
c Net rental income or (loss) (subtract line 6b from line 6a)			6c	
7 Other investment income (describe)			7	
8a Gross amount from sales of assets other than inventory	(A) Securities		(B) Other	
b Less: cost or other basis and sales expenses	8a		8a	
c Gain or (loss) (attach schedule)	8b		8b	
d Net gain or (loss) (combine line 8c, columns (A) and (B))	8c		8c	
9 Special events and activities (attach schedule)			8d	
a Gross revenue (not including \$ of contributions reported on line 1a)	9a			
b Less: direct expenses other than fundraising expenses	9b			
c Net income or (loss) from special events (subtract line 9b from line 9a)			9c	
10a Gross sales of inventory, less returns and allowances				
b Less: cost of goods sold	10a			
c Gross profit or (loss) from sales of inventory (attach schedule) (subtract line 10b from line 10a)	10b		10b	
11 Other revenue (from Part VII, line 103)			10c	
12 Total revenue (add lines 1d, 2, 3, 4, 5, 6c, 7, 8d, 9c, 10c, and 11)			12	1,151,498.
13 Program services (from line 44, column (B))			13	1,042,329.
14 Management and general (from line 44, column (C))			14	183,566.
15 Fundraising (from line 44, column (D))			15	0.
16 Payments to affiliates (attach schedule)			16	
17 Total expenses (add lines 16 and 44, column (A))			17	1,225,895.
18 Excess or (deficit) for the year (subtract line 17 from line 12)			18	-74,397.
19 Net assets or fund balances at beginning of year (from line 73, column (A))			19	846,897.
20 Other changes in net assets or fund balances (attach explanation)			20	
21 Net assets or fund balances at end of year (combine lines 18, 19, and 20)			21	772,500.



SCANNED MAY 25 2004

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Part II Statement of Functional Expenses All organizations must complete column (A). Columns (B), (C), and (D) are required for section 501(c)(3) and (4) organizations and section 4947(a)(1) nonexempt charitable trusts but optional for others

Do not include amounts reported on line 6b, 8b, 9b, 10b, or 16 of Part I	(A) Total	(B) Program services	(C) Management and general	(D) Fundraising
22 Grants and allocations (att sch) (cash \$ _____ non-cash \$ _____)	22			
23 Specific assistance to individuals (att sch)	23			
24 Benefits paid to or for members (att sch)	24			
25 Compensation of officers, directors, etc	25 110,856.	92,888.	17,968.	0.
26 Other salaries and wages	26 473,923.	401,261.	72,662.	0.
27 Pension plan contributions	27 53,695.	44,992.	8,703.	0.
28 Other employee benefits	28 59,820.	51,559.	8,261.	0.
29 Payroll taxes	29 41,279.	34,243.	7,036.	0.
30 Professional fundraising fees	30			
31 Accounting fees	31 3,625.	0.	3,625.	0.
32 Legal fees	32			
33 Supplies	33 30,015.	18,875.	11,140.	0.
34 Telephone	34 11,133.	7,990.	3,143.	0.
35 Postage and shipping	35			
36 Occupancy	36 20,573.	13,332.	7,241.	0.
37 Equipment rental and maintenance	37 5,694.	3,582.	2,112.	0.
38 Printing and publications	38 32,800.	24,059.	8,741.	0.
39 Travel	39 70,650.	65,966.	4,684.	0.
40 Conferences, conventions, and meetings	40			
41 Interest	41 26,023.	21,547.	4,476.	0.
42 Depreciation, depletion, etc (attach schedule)	42 22,761.	14,103.	8,658.	0.
43 Other expenses not covered above (itemize)				
a Contract Labor	43a 239,345.	239,345.	0.	0.
b Other Expenses	43b 13,027.	7,488.	5,539.	0.
c Professional Fees	43c 6,005.	0.	6,005.	0.
d Recruitment & Relocation	43d 1,849.	64.	1,785.	0.
e See Other Expenses Stmt	43e 2,822.	1,035.	1,787.	0.
44 Total functional expenses (add lines 22 - 43) Organizations completing columns (B) - (D), carry these totals to lines 13 - 15	44 1,225,895.	1,042,329.	183,566.	0.

Joint Costs. Check if you are following SOP 98-2.

Are any joint costs from a combined educational campaign and fundraising solicitation reported in (B) Program services? Yes No
 If 'Yes,' enter (i) the aggregate amount of these joint costs \$ _____; (ii) the amount allocated to program services \$ _____; (iii) the amount allocated to management and general \$ _____; and (iv) the amount allocated to fundraising \$ _____

Part III Statement of Program Service Accomplishments

What is the organization's primary exempt purpose? Research & technical assistance
 All organizations must describe their exempt purpose achievements in a clear and concise manner. State the number of clients served, publications issued, etc. Discuss achievements that are not measurable (Section 501(c)(3) & (4) organizations & section 4947(a)(1) nonexempt charitable trusts must also enter the amount of grants & allocations to others.)

Program Service Expenses
 (Required for 501(c)(3) and (4) organizations and 4947(a)(1) trusts, but optional for others)

a Please see attached	(Grants and allocations \$ 0.)	1,042,329
b	(Grants	
c	(Grants	
d	(Grants	
e Other program services	(Grants	
f Total of Program Service Expenses (should equal line 44, column (A))		

Part IV Balance Sheets (See instructions)

Note: Where required, attached schedules and amounts within the description column should be for end-of-year amounts only

		(A) Beginning of year		(B) End of year	
ASSETS	45 Cash – non-interest-bearing	15,065.	45	0.	
	46 Savings and temporary cash investments	303,953.	46	270,473.	
	47a Accounts receivable	47a		3.	
	b Less: allowance for doubtful accounts	47b	9,933.	47c 3.	
	48a Pledges receivable	48a			
	b Less: allowance for doubtful accounts	48b		48c	
	49 Grants receivable		349,456.	49	350,872.
	50 Receivables from officers, directors, trustees, and key employees (attach schedule)			50	
	51a Other notes & loans receivable (attach sch)	51a			
	b Less. allowance for doubtful accounts	51b		51c	
	52 Inventories for sale or use			52	
	53 Prepaid expenses and deferred charges		680.	53	30.
	54 Investments – securities (attach schedule)			54	
	55a Investments – land, buildings, & equipment: basis	55a			
	b Less: accumulated depreciation (attach schedule)	55b		55c	
56 Investments – other (attach schedule)			56		
57a Land, buildings, and equipment. basis	57a	593,661.			
b Less. accumulated depreciation (attach schedule)	57b	41,642.	57c	552,019.	
58 Other assets (describe ▶ _____)			58		
59 Total assets (add lines 45 through 58) (must equal line 74)		1,240,891.	59	1,173,397.	
LIABILITIES	60 Accounts payable and accrued expenses		60	98,828.	
	61 Grants payable		61		
	62 Deferred revenue		62		
	63 Loans from officers, directors, trustees, and key employees (attach schedule)		63		
	64a Tax-exempt bond liabilities (attach schedule)		64a		
	b Mortgages and other notes payable (attach schedule)		306,137.	64b	302,069.
	65 Other liabilities (describe ▶ _____)			65	
66 Total liabilities (add lines 60 through 65)		393,994.	66	400,897.	
NET ASSETS OR FUND BALANCES	Organizations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 67 through 69 and lines 73 and 74.				
	67 Unrestricted		67	664,743.	
	68 Temporarily restricted		68	107,757.	
	69 Permanently restricted		69		
	Organizations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 70 through 74				
	70 Capital stock, trust principal, or current funds		70		
	71 Paid-in or capital surplus, or land, building, and equipment fund		71		
	72 Retained earnings, endowment, accumulated income, or other funds		72		
	73 Total net assets or fund balances (add lines 67 through 69 or lines 70 through 72, column (A) must equal line 19 and column (B) must equal line 21)		846,897.	73	772,500.
	74 Total liabilities and net assets/fund balances (add lines 66 and 73)		1,240,891.	74	1,173,397.

Form 990 is available for public inspection and, for some people, serves as the primary or sole source of information about a particular organization. How the public perceives an organization in such cases may be determined by the information presented on its return. Therefore, please make sure the return is complete and accurate and fully describes, in Part III, the organization's programs and accomplishments.

BAA

Part IV-A Reconciliation of Revenue per Audited Financial Statements with Revenue per Return (See instructions.)	Part IV-B Reconciliation of Expenses per Audited Financial Statements with Expenses per Return
<p>a Total revenue, gains, and other support per audited financial statements ▶ a N/A</p> <p>b Amounts included on line a but not on line 12, Form 990:</p> <p>(1) Net unrealized gains on investments \$ _____</p> <p>(2) Donated services and use of facilities \$ _____</p> <p>(3) Recoveries of prior year grants \$ _____</p> <p>(4) Other (specify): _____</p> <p>----- \$ _____</p> <p>Add amounts on lines (1) through (4) ▶ b</p> <p>c Line a minus line b ▶ c</p> <p>d Amounts included on line 12, Form 990 but not on line a:</p> <p>(1) Investment expenses not included on line 6b, Form 990 \$ _____</p> <p>(2) Other (specify): _____</p> <p>----- \$ _____</p> <p>Add amounts on lines (1) and (2) ▶ d</p> <p>e Total revenue per line 12, Form 990 (line c plus line d) ▶ e</p>	<p>a Total expenses and losses per audited financial statements ▶ a N/A</p> <p>b Amounts included on line a but not on line 17, Form 990:</p> <p>(1) Donated services and use of facilities \$ _____</p> <p>(2) Prior year adjustments reported on line 20, Form 990 \$ _____</p> <p>(3) Losses reported on line 20, Form 990 \$ _____</p> <p>(4) Other (specify): _____</p> <p>----- \$ _____</p> <p>Add amounts on lines (1) through (4) ▶ b</p> <p>c Line a minus line b ▶ c</p> <p>d Amounts included on line 17, Form 990 but not on line a:</p> <p>(1) Investment expenses not included on line 6b, Form 990 \$ _____</p> <p>(2) Other (specify): _____</p> <p>----- \$ _____</p> <p>Add amounts on lines (1) and (2) ▶ d</p> <p>e Total expenses per line 17, Form 990 (line c plus line d) ▶ e</p>

Part V List of Officers, Directors, Trustees, and Key Employees (List each one even if not compensated, see instructions)

(A) Name and address	(B) Title and average hours per week devoted to position	(C) Compensation (if not paid, enter -0-)	(D) Contributions to employee benefit plans and deferred compensation	(E) Expense account and other allowances
Michael Pastor Bronx, NY	Chair var	0.	0.	0.
Ronda Kay Garcia Concord, CA	Sec'y var	0.	0.	0.
Arnelle Hinckle Berkeley, CA	Treasurer var	0.	0.	0.
Kathy Martin Marblehead, MA	Director var	0.	0.	0.
Larry Cohen Berkeley, CA	Exec Dir 40	110,856.	13,000.	0.
Marilyn Ritholz Boston, MA	Director var	0.	0.	0.
Hannah Ziegellaub Albuquerque, NM	Director var	0.	0.	0.

75 Did any officer, director, trustee, or key employee receive aggregate compensation of more than \$100,000 from your organization and all related organizations, of which more than \$10,000 was provided by the related organizations?

▶ Yes No

If 'Yes,' attach schedule - see instructions

Part VI Other Information (See specific instructions.)

Yes No

76	Did the organization engage in any activity not previously reported to the IRS? If 'Yes,' attach a detailed description of each activity	76		X
77	Were any changes made in the organizing or governing documents but not reported to the IRS? If 'Yes,' attach a conformed copy of the changes.	77		X
78a	Did the organization have unrelated business gross income of \$1,000 or more during the year covered by this return?	78a		X
	b If 'Yes,' has it filed a tax return on Form 990-T for this year?	78b		X
79	Was there a liquidation, dissolution, termination, or substantial contraction during the year? If 'Yes,' attach a statement	79		X
80a	Is the organization related (other than by association with a statewide or nationwide organization) through common membership, governing bodies, trustees, officers, etc, to any other exempt or nonexempt organization?	80a		X
	b If 'Yes,' enter the name of the organization _____ and check whether it is <input type="checkbox"/> exempt or <input type="checkbox"/> nonexempt			
81a	Enter direct or indirect political expenditures. See line 81 instructions	81a	0.	
	b Did the organization file Form 1120-POL for this year?	81b		X
82a	Did the organization receive donated services or the use of materials, equipment, or facilities at no charge or at substantially less than fair rental value?	82a		X
	b If 'Yes,' you may indicate the value of these items here. Do not include this amount as revenue in Part I or as an expense in Part II. (See instructions in Part III)	82b		
83a	Did the organization comply with the public inspection requirements for returns and exemption applications?	83a	X	
	b Did the organization comply with the disclosure requirements relating to quid pro quo contributions?	83b	X	
84a	Did the organization solicit any contributions or gifts that were not tax deductible?	84a		X
	b If 'Yes,' did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	84b		
85	501(c)(4), (5), or (6) organizations a Were substantially all dues nondeductible by members?	85a		
	b Did the organization make only in-house lobbying expenditures of \$2,000 or less? If 'Yes' was answered to either 85a or 85b, do not complete 85c through 85h below unless the organization received a waiver for proxy tax owed for the prior year.	85b		
	c Dues, assessments, and similar amounts from members	85c		
	d Section 162(e) lobbying and political expenditures	85d		
	e Aggregate nondeductible amount of Section 6033(e)(1)(A) dues notices	85e		
	f Taxable amount of lobbying and political expenditures (line 85d less 85e)	85f		
	g Does the organization elect to pay the Section 6033(e) tax on the amount on line 85f?	85g		
	h If Section 6033(e)(1)(A) dues notices were sent, does the organization agree to add the amount on line 85f to its reasonable estimate of dues allocable to nondeductible lobbying and political expenditures for the following tax year?	85h		
86	501(c)(7) organizations Enter: a Initiation fees and capital contributions included on line 12	86a		
	b Gross receipts, included on line 12, for public use of club facilities	86b		
87	501(c)(12) organizations Enter: a Gross income from members or shareholders	87a		
	b Gross income from other sources. (Do not net amounts due or paid to other sources against amounts due or received from them.)	87b		
88	At any time during the year, did the organization own a 50% or greater interest in a taxable corporation or partnership, or an entity disregarded as separate from the organization under Regulations Sections 301.7701-2 and 301.7701-3? If 'Yes,' complete Part IX	88		X
89a	501(c)(3) organizations. Enter: Amount of tax imposed on the organization during the year under Section 4911 _____ 0. ; Section 4912 _____ 0. ; Section 4955 _____ 0.			
	b 501(c)(3) and 501(c)(4) organizations Did the organization engage in any Section 4958 excess benefit transaction during the year or did it become aware of an excess benefit transaction from a prior year? If 'Yes,' attach a statement explaining each transaction	89b		X
	c Enter. Amount of tax imposed on the organization managers or disqualified persons during the year under Sections 4912, 4955, and 4958			0.
	d Enter: Amount of tax on line 89c, above, reimbursed by the organization			0
90a	List the states with which a copy of this return is filed		California	
	b Number of employees employed in the pay period that includes March 12, 2001 (see instructions)	90b		10
91	The books are in care of		Prevention Inst	Telephone number
	Located at		265 - 29th St., Oakland	CA ZIP + 4
				94611
92	Section 4947(a)(1) nonexempt charitable trusts filing Form 990 in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the tax year			92

Part VII Analysis of Income-Producing Activities (See instructions.)

Note: Enter gross amounts unless otherwise indicated

	Unrelated business income		Excluded by section 512, 513, or 514		(E) Related or exempt function income
	(A) Business code	(B) Amount	(C) Exclusion code	(D) Amount	
93 Program service revenue:					
a <u>Contracts</u>					478,436.
b _____					
c _____					
d _____					
e _____					
f Medicare/Medicaid payments					
g Fees & contracts from government agencies					
94 Membership dues and assessments					
95 Interest on savings & temporary cash invmnts			14	8,405.	
96 Dividends & interest from securities					
97 Net rental income or (loss) from real estate:					
a debt-financed property					
b not debt-financed property					
98 Net rental income or (loss) from pers prop					
99 Other investment income					
100 Gain or (loss) from sales of assets other than inventory					
101 Net income or (loss) from special events					
102 Gross profit or (loss) from sales of inventory					
103 Other revenue, a _____					
b _____					
c _____					
d _____					
e _____					
104 Subtotal (add columns (B), (D), and (E))				8,405.	478,436.
105 Total (add line 104, columns (B), (D), and (E))					486,841.

Note: Line 105 plus line 1d, Part I, should equal the amount on line 12, Part I

Part VIII Relationship of Activities to the Accomplishment of Exempt Purposes (See instructions.)

Line No.	Explain how each activity for which income is reported in column (E) of Part VII contributed importantly to the accomplishment of the organization's exempt purposes (other than by providing funds for such purposes).
93a	Contracts to develop interdisciplinary approaches, conduct training and develop strategies promoting prevention across diverse issues, such as violence, illness and crime.

Part IX Information Regarding Taxable Subsidiaries and Disregarded Entities (See instructions.) N/A

(A) Name, address, and EIN of corporation, partnership, or disregarded entity	(B) Percentage of ownership interest	(C) Nature of activities	(D) Total income	(E) End-of-year assets
	%			
	%			
	%			
	%			

Part X Information Regarding Transfers Associated with Personal Benefit Contracts (See instructions.)

- a Did the organization, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? Yes No
- b Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes No

Note: If 'Yes' to (b), file Form 8870 and Form 4720 (see instructions)

Please Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Signature of Officer: [Signature] Date: 5/11/04

Type or Print Name and Title: Larry Cohen, Executive Director

Paid Preparer's Use Only

Preparer's Signature: Antoinette G. Nies Date: 05/05/04 Check if self-employed: Preparer's SSN or PTIN (see General Instruction W): P00177373

Firm's name (or yours if self-employed) and address, and ZIP + 4: ANTOINETTE G NIES CPA
61 PRINCE ROYAL DRIVE
CORTE MADERA CA 94925

EIN: 68-0402098 Phone no: (415) 927-9475

Schedule A
(Form 990 or 990-EZ)

**Organization Exempt Under
Section 501(c)(3)**

OMB No. 1545-0047

(Except Private Foundation) and Section 501(e), 501(f), 501(k), 501(n), or Section 4947(a)(1)
Nonexempt Charitable Trust Supplementary Information - (See separate instructions.)
Supplementary Information - (see separate instructions)

2001

Department of the Treasury
Internal Revenue Service

▶ Must be completed by the above organizations and attached to their Form 990 or 990-EZ.

Name of the Organization

Prevention Institute

Employer Identification Number

94-3282858

Part I Compensation of the Five Highest Paid Employees Other Than Officers, Directors, and Trustees

(See instructions. List each one. If there are none, enter 'None'.)

(a) Name and address of each employee paid more than \$50,000	(b) Title and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans & deferred compensation	(e) Expense account and other allowances
Rachel Davis ----- Oakland, CA	Managing Dir 40	57,867.	8,000.	0.
Leslie Michelson ----- Oakland, CA	Managing Dir 40	66,276.	8,800.	

Total number of other employees paid over \$50,000 ▶	None			

Part II Compensation of the Five Highest Paid Independent Contractors for Professional Services

(See instructions. List each one (whether individuals or firms). If there are none, enter 'None'.)

(a) Name and address of each independent contractor paid more than \$50,000	(b) Type of service	(c) Compensation
Al Crancer ----- 29 Haredie Dr., Moraga, CA 94556	Data analysis & eval	118,625.
Salvatore Rosano ----- 1025 Slate Dr., Santa Rosa, CA 95404	Outreach & briefings	67,900.

Total number of others receiving over \$50,000 for professional services ▶	None	

Part III Statements About Activities (See instructions.)

	Yes	No
1 During the year, has the organization attempted to influence national, state, or local legislation, including any attempt to influence public opinion on a legislative matter or referendum? If 'Yes,' enter the total expenses paid or incurred in connection with the lobbying activities ▶ \$ _____ (Must equal amounts on line 38, Part VI-A, or line i of Part VI-B.) Organizations that made an election under section 501(h) by filing Form 5768 must complete Part VI-A. Other organizations checking 'Yes,' must complete Part VI-B and attach a statement giving a detailed description of the lobbying activities.		X
2 During the year, has the organization, either directly or indirectly, engaged in any of the following acts with any substantial contributors, trustees, directors, officers, creators, key employees, or members of their families, or with any taxable organization with which any such person is affiliated as an officer, director, trustee, majority owner, or principal beneficiary? (If the answer to any question is 'Yes,' attach a detailed statement explaining the transactions.)		
a Sale, exchange, or leasing of property?		X
b Lending of money or other extension of credit?		X
c Furnishing of goods, services, or facilities?		X
d Payment of compensation (or payment or reimbursement of expenses if more than \$1,000)? See Pt V, Fm 990	X	
e Transfer of any part of its income or assets?		X
3 Does the organization make grants for scholarships, fellowships, student loans, etc? (See Note below.)		X
4 Do you have a section 403(b) annuity plan for your employees?		X
Note: Attach a statement to explain how the organization determines that individuals or organizations receiving grants or loans from it in furtherance of its charitable programs 'qualify' to receive payments		

Part IV Reason for Non-Private Foundation Status (See instructions.)

The organization is not a private foundation because it is (please check only **One** applicable box):

- 5 A church, convention of churches, or association of churches Section 170(b)(1)(A)(i).
- 6 A school. Section 170(b)(1)(A)(ii). (Also complete Part V)
- 7 A hospital or a cooperative hospital service organization Section 170(b)(1)(A)(iii)
- 8 A federal, state, or local government or governmental unit. Section 170(b)(1)(A)(v).
- 9 A medical research organization operated in conjunction with a hospital. Section 170(b)(1)(A)(iii). **Enter the hospital's name, city, and state ▶** _____
- 10 An organization operated for the benefit of a college or university owned or operated by a governmental unit. Section 170(b)(1)(A)(iv). (Also complete the **Support Schedule** in Part IV-A.)
- 11 a An organization that normally receives a substantial part of its support from a governmental unit or from the general public Section 170(b)(1)(A)(vi) (Also complete the **Support Schedule** in Part IV-A.)
- 11 b A community trust. Section 170(b)(1)(A)(vi). (Also complete the **Support Schedule** in Part IV-A.)
- 12 An organization that normally receives: (1) more than 33-1/3% of its support from contributions, membership fees, and gross receipts from activities related to its charitable, etc, functions — subject to certain exceptions, and (2) no more than 33-1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See section 509(a)(2) (Also complete the **Support Schedule** in Part IV-A.)
- 13 An organization that is not controlled by any disqualified persons (other than foundation managers) and supports organizations described in (1) lines 5 through 12 above; or (2) section 501(c)(4), (5), or (6), if they meet the test of section 509(a)(2) (See section 509(a)(3).)

Provide the following information about the supported organizations. (See instructions.)

(a) Name(s) of supported organization(s)	(b) Line number from above

- 14 An organization organized and operated to test for public safety. Section 509(a)(4). (See instructions.)

Part IV-A Support Schedule (Complete only if you checked a box on line 10, 11, or 12.) *Use cash method of accounting.*

Note: You may use the worksheet in the instructions for converting from the accrual to the cash method of accounting

Calendar year (or fiscal year beginning in)	(a) 2000	(b) 1999	(c) 1998	(d) 1997	(e) Total
15 Gifts, grants, and contributions received. (Do not include unusual grants. See line 28.)	937,073.	623,248.	352,955.	186,684.	2,099,960.
16 Membership fees received					
17 Gross receipts from admissions, merchandise sold or services performed, or furnishing of facilities in any activity that is related to the organization's charitable, etc. purpose	297,803.	258,279.	112,310.		668,392.
18 Gross income from interest, dividends, amounts received from payments on securities loans (Section 512(a)(5)), rents, royalties, and unrelated business taxable income (less Section 511 taxes) from businesses acquired by the organization after June 30, 1975	19,961.	8,683.	1,174.	496.	30,314.
19 Net income from unrelated business activities not included in line 18					
20 Tax revenues levied for the organization's benefit and either paid to it or expended on its behalf					
21 The value of services or facilities furnished to the organization by a governmental unit without charge. Do not include the value of services or facilities generally furnished to the public without charge					
22 Other income. Attach a schedule. Do not include gain or (loss) from sale of capital assets	5,610.	22.	14.		5,646.
23 Total of lines 15 through 22	1,260,447.	890,232.	466,453.	187,180.	2,804,312.
24 Line 23 minus line 17	962,644.	631,953.	354,143.	187,180.	2,135,920.
25 Enter 1% of line 23	12,604.	8,902.	4,665.	1,872.	
26 Organizations described on lines 10 or 11:					
a Enter 2% of amount in column (e), line 24					26a 42,718.
b Prepare a list for your records to show the name of and amount contributed by each person (other than a governmental unit or publicly supported organization) whose total gifts for 1997 through 2000 exceeded the amount shown in line 26a. Do not file this list with your return. Enter the total of all these excess amounts					26b 619,564.
c Total support for Section 509(a)(1) test. Enter line 24, column (e)					26c 2,135,920.
d Add: Amounts from column (e) for lines:	18 30,314.	19			26d 655,524.
	22 5,646.	26b 619,564.			
e Public support (line 26c minus line 26d total)					26e 1,480,396.
f Public support percentage (line 26e (numerator) divided by line 26c (denominator))					26f 69.31 %
27 Organizations described on line 12:					
a For amounts included in lines 15, 16, and 17 that were received from a 'disqualified person,' prepare a list for your records to show the name of, and total amounts received in each year from, each 'disqualified person.' Do not file this list with your return. Enter the sum of such amounts for each year. (2000) _____ (1999) _____ (1998) _____ (1997) _____					
b For any amount included in line 17 that was received from each person (other than 'disqualified persons'), prepare a list for your records to show the name of, and amount received for each year, that was more than the larger of (1) the amount on line 25 for the year or (2) \$5,000 (Include in the list organizations described in lines 5 through 11, as well as individuals.) Do not file this list with your return. After computing the difference between the amount received and the larger amount described in (1) or (2), enter the sum of these differences (the excess amounts) for each year (2000) _____ (1999) _____ (1998) _____ (1997) _____					
c Add: Amounts from column (e) for lines	15 _____	16 _____			27c _____
	17 _____	20 _____	21 _____		
d Add: Line 27a total _____ and line 27b total _____					27d _____
e Public support (line 27c total minus line 27d total)					27e _____
f Total support for section 509(a)(2) test: Enter amount from line 23, column (e)					27f _____
g Public support percentage (line 27e (numerator) divided by line 27f (denominator))					27g _____ %
h Investment income percentage (line 18, column (e) (numerator) divided by line 27f (denominator))					27h _____ %

28 Unusual Grants: For an organization described in line 10, 11, or 12 that received any unusual grants during 1997 through 2000, prepare a list for your records to show, for each year, the name of the contributor, the date and amount of the grant, and a brief description of the nature of the grant. Do not file this list with your return. Do not include these grants in line 15.

Part V Private School Questionnaire (See instructions)
 (To be completed Only by schools that checked the box on line 6 in Part IV)

		N/A	
		Yes	No
29	Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body?		
30	Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?		
31	Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If 'Yes,' please describe, if 'No,' please explain (If you need more space, attach a separate statement) ----- ----- -----		
32	Does the organization maintain the following:		
a	Records indicating the racial composition of the student body, faculty, and administrative staff?	32a	
b	Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?	32b	
c	Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?	32c	
d	Copies of all material used by the organization or on its behalf to solicit contributions? If you answered 'No' to any of the above, please explain (If you need more space, attach a separate statement) ----- -----	32d	
33	Does the organization discriminate by race in any way with respect to:		
a	Students' rights or privileges?	33a	
b	Admissions policies?	33b	
c	Employment of faculty or administrative staff?	33c	
d	Scholarships or other financial assistance?	33d	
e	Educational policies?	33e	
f	Use of facilities?	33f	
g	Athletic programs?	33g	
h	Other extracurricular activities? If you answered 'Yes' to any of the above, please explain. (If you need more space, attach a separate statement.) ----- ----- -----	33h	
34a	Does the organization receive any financial aid or assistance from a governmental agency?	34a	
b	Has the organization's right to such aid ever been revoked or suspended? If you answered 'Yes' to either 34a or b, please explain using an attached statement.	34b	
35	Does the organization certify that it has complied with the applicable requirements of sections 4 01 through 4 05 of Rev Proc 75-50, 1975-2 C B 587, covering racial nondiscrimination? If 'No,' attach an explanation.	35	

Part VI-A Lobbying Expenditures by Electing Public Charities (See instructions.)
(To be completed **Only** by an eligible organization that filed Form 5768)

N/A

Check **a** if the organization belongs to an affiliated group. Check **b** if you checked 'a' and 'limited control' provisions apply

Limits on Lobbying Expenditures

(The term 'expenditures' means amounts paid or incurred)

		(a) Affiliated group totals	(b) To be completed for all electing organizations
36 Total lobbying expenditures to influence public opinion (grassroots lobbying)	36		
37 Total lobbying expenditures to influence a legislative body (direct lobbying)	37		
38 Total lobbying expenditures (add lines 36 and 37)	38		
39 Other exempt purpose expenditures	39		
40 Total exempt purpose expenditures (add lines 38 and 39)	40		
41 Lobbying nontaxable amount. Enter the amount from the following table --			
If the amount on line 40 is --	The lobbying nontaxable amount is --		
Not over \$500,000	20% of the amount on line 40		
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000		
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000	41	
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000		
Over \$17,000,000	\$1,000,000		
42 Grassroots nontaxable amount (enter 25% of line 41)	42		
43 Subtract line 42 from line 36. Enter -0- if line 42 is more than line 36	43		
44 Subtract line 41 from line 38. Enter -0- if line 41 is more than line 38	44		

Caution: If there is an amount on either line 43 or line 44, you must file Form 4720

4 -Year Averaging Period Under Section 501(h)

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the instructions for lines 45 through 50.)

Calendar year (or fiscal year beginning in) ▶	Lobbying Expenditures During 4 -Year Averaging Period				
	(a) 2001	(b) 2000	(c) 1999	(d) 1998	(e) Total
45 Lobbying nontaxable amount					
46 Lobbying ceiling amount (150% of line 45(e))					
47 Total lobbying expenditures					
48 Grassroots non-taxable amount					
49 Grassroots ceiling amount (150% of line 48(e))					
50 Grassroots lobbying expenditures					

Part VI-B Lobbying Activity by Nonelecting Public Charities

(For reporting only by organizations that did not complete Part VI-A) (See instructions.)

During the year, did the organization attempt to influence national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:

- a Volunteers
- b Paid staff or management (include compensation in expenses reported on lines c through h.)
- c Media advertisements
- d Mailings to members, legislators, or the public
- e Publications, or published or broadcast statements
- f Grants to other organizations for lobbying purposes
- g Direct contact with legislators, their staffs, government officials, or a legislative body
- h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any other means
- i Total lobbying expenditures (add lines c through h.)

Yes	No	Amount
	X	
	X	
	X	
	X	
	X	
	X	
	X	
	X	

If 'Yes' to any of the above, also attach a statement giving a detailed description of the lobbying activities

Form 990, Page 2, Part II, Line 43

Other Expenses Stmt

Other expenses not covered above (itemize)	(A) Total	(B) Program services	(C) Management and general	(D) Fundraising
Insurance	1,544.	0.	1,544.	0.
Staff Development	1,278.	1,035.	243.	0.
Total	<u>2,822.</u>	<u>1,035.</u>	<u>1,787.</u>	<u>0.</u>

Building Partnerships Initiative to End Men's Violence (BPI) *Funded by: U.S. Department of Justice, Violence Against Women Office*

Building Partnerships Initiative to End Men's Violence (BPI) is a collaborative project of the Family Violence Prevention Fund (FVPF), Prevention Institute, Men Can Stop Rape, Centers for Disease Control and Prevention, and Minnesota Center Against Violence and Abuse (MINCAVA). The goals of the BPI include documenting and supporting current efforts to prevent male sexual and domestic violence, promoting alliances between programs working to end male violence, and identifying the technical assistance needs of key constituencies involved in such efforts.

First Steps: Child Development and Violence Prevention *Funded by: The David and Lucile Packard Foundation*

First Steps is a partnership between Prevention Institute, Action Alliance for Children, and Fight Crime: Invest in Kids California. The project aims to clearly demonstrate the association between early childhood development, family support programs, and violence prevention, and to ground early childhood and violence prevention activities and policy making in state-of-the-art research and practices.

Geography of Prevention Prevention Institute initiated Geography of Prevention as a means to identify key prevention leaders, methodologies, and best practices across the country. Prevention efforts are mapped in several key fields, including chronic disease prevention, youth development, injury prevention, substance abuse prevention, community development, and mental health promotion. Information gathered from this research increases Prevention Institute's capacity to provide support, consultation, and technical assistance to health and social service organizations by increasing our knowledge base of successful, cutting-edge, and innovative prevention models.

Intergroup Conflict Intervention Training *Funded by: William and Flora Hewlett Foundation, Orange County Human Relations Council*

Prevention Institute is seeking to prevent and reduce the incidence of intentional injury by designing and testing a curriculum to build the capacity of schools, law enforcement, community agencies, and neighborhood activists to intervene in intergroup conflicts. The intervention methodology will include measures for managing and preventing the recurrence of conflicts by addressing their root causes.

Mobilizing for a Safe USA: Focused Forums *Funded by: National Fire Protection Association/First Alert, National Highway Traffic Safety Administration (NHTSA), Children's Safety Network (CSN)*

Prevention Institute held a series of focused forums across the country to bring local and regional perspectives to a nationwide effort to launch a violence and injury prevention strategy. Mobilizing for a Safe USA is a national leadership conference sponsored by a broad mix of governmental, nonprofit, and commercial agencies that took place in Atlanta in December 2001. The aim of the conference was to launch a national prevention strategy to reduce violence and injury in America. The information gathered from these focused forums is available in a report and will be used to continue to build

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momentum for unintentional and intentional injury prevention and to mobilize action on key strategies for violence and injury prevention.

National Center for the Health of Men, Boys and Society Prevention Institute is launching the National Center for the Health of Men, Boys and Society. The Center is based on a broad concept that recognizes the influences of social, economic, environmental, ethnic, and cultural factors, as well as differences among men based on their age, economic status, sexual identity, occupation, culture, ethnicity, environment, religion, and geographic location. The Center will also address men's health from the perspective that men's health-related beliefs and behaviors influence the well being of women, girls, other men and boys, and the communities in which men live.

Partnerships for Preventing Violence *Funded by: U.S. Department of Education, Safe and Drug Free Schools Program; U.S. Department of Health and Human Services, Health Resources and Services Administration, Maternal and Child Health Bureau, Centers for Disease Control and Prevention, and Indian Health Service; U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention*
A collaborative project with Harvard University's School of Public Health and Education Development Center, the Partnerships for Preventing Violence distance learning series has trained more than ten thousand violence prevention professionals via satellite. Major skill-building components include forming effective coalitions and developing comprehensive primary prevention strategies. The project emphasizes leadership development and has served as a catalyst for local initiatives across the country

Physical Activity Promotion *Funded by: California Department of Health Services (DHS), Cancer Prevention and Nutrition Section (CPNS) and Physical Activity and Health Initiative (PAHI)*

Prevention Institute is supporting efforts to integrate nutrition and physical activity promotion statewide and foster collaboration and coordination within DHS for more effective physical activity promotion. Currently the Institute is assisting PAHI in the development of a 5-year strategic plan. Working with CPNS, Prevention Institute completed the *Strategies for Action: Integrating Nutrition and Physical Activity Promotion to Reach Low-Income Californians* framework for increasing physical activity in low-income communities and continues to provide consultation as CPNS implements elements of the framework.

Preventing Violence Against Women: Developing a Statewide Plan for California *Funded by: National Center for Injury Prevention and Control, Centers for Disease Control*

Prevention Institute has been working with the California Department of Health Services, Epidemiology and Prevention for Injury Control (EPIC) branch and Sonoma State University to develop a statewide action plan on the prevention of violence against women. The action plan will build upon existing work to promote a set of priorities to

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address multiple forms of violence against women and is anticipated to be available in the fall of 2003.

Prevention Research Survey *Funded by: Research! America*

Prevention Institute is serving as the lead organization in California on a project to promote an increase in resources for prevention and mobilize efforts around prevention issues. Research! America, the organization coordinating the project, is underwriting a Harris poll on prevention research. The results will be used to mobilize public support for advancing prevention efforts and initiatives.

Salinas Safe Schools/Healthy Students Local Evaluation *Funded by: Salinas Safe Schools/Healthy Students Initiative*

Prevention Institute is the local evaluator of the Salinas Safe Schools/Healthy Students (SS/HS) Initiative, a national effort devoted to promoting healthy childhood development and preventing violence and substance abuse through enhanced educational, mental health, law enforcement, social, and juvenile justice services in communities. The Institute's role is to assess the extent and value of collaboration, integration, and systems change as a result of the SS/HS initiative in Salinas, while helping to strengthen local activities and programs through ongoing evaluation and strategy development.

Shifting the Focus: An Interdisciplinary Framework for Advancing Violence

Prevention *Funded by: California Department of Alcohol and Drug Programs: Prevention Services Division, National Crime Prevention Council*

This state interagency partnership, facilitated by Prevention Institute, includes representatives from the Office of the Attorney General, Department of Health and Human Services, and the Department of Education. These agencies have come together to do business differently in order to move State government away from isolated efforts to a broader service orientation. The underlying assumption is that better service delivery by the State will support prevention practitioners in addressing local problems, resulting in healthier, safer, and more sustainable communities. The partnership acknowledges that improved government practice requires the mobilization of a broad array of activities, staff, and resources across departments. Recently this effort was integrated into a national initiative entitled Embedding Prevention in State Policy and Practice, coordinated by the National Crime Prevention Council

Strategic Alliance *Funded by: The California Wellness Foundation, The California Endowment*

Prevention Institute, California Adolescent Nutrition and Fitness Program (CANFit), California Center for Public Health Advocacy, California Food Policy Advocates, California Project LEAN, California WIC Association, Child Care Food Program Roundtable, Latino Health Access, and Samuels & Associates have partnered to form the Strategic Alliance. The Alliance aims to promote significant changes in the nutrition and physical activity environment in California through monitoring industry and government practices and advocating for policies and practices that support healthy eating and physical activity. Prevention Institute provides coordination of the coalition as it enters its

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initial stages of synthesizing research, monitoring legislation, and identifying key constituencies

The Three Rs for Dealing with Trauma in Schools: Readiness, Response, and Recovery *Funded by: U.S. Department of Education, Safe and Drug-Free Schools Program*

The Harvard School of Public Health, Prevention Institute, and Education Development Center jointly presented this satellite broadcast training in April 2002. The training focuses on the impact of multi-level mental health services in schools and the importance of incorporating mental health into school safety plans.

THRIVE: Community Tool for Health & Resilience In Vulnerable Environments *Funded by: U.S. Department of Health and Human Services Office of Minority Health*
Prevention Institute is developing a community resilience assessment tool. The tool will assess community resilience factors linked to Healthy People 2010 leading health indicators to help communities identify ways in which they can eliminate health disparities and improve community health.

University of California Berkeley Traffic Safety Center *Funded by: University of California, Berkeley*

As a key partner in the development of a Traffic Safety Center in the western United States, the Institute is involved in designing an interdisciplinary approach that includes public health, engineering, city planning, law enforcement, optometry, and medicine to provide focused research, training, and practice in traffic safety. Prevention Institute's primary role is the translation of the University's research into practical information for practitioners.

If you are filing for an Additional (not automatic) 3-Month Extension, complete only Part II and check this box

Note: Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

If you are filing for an Automatic 3-Month Extension, complete only Part I (on page 1).

Part II: Additional (not automatic) 3-Month Extension of Time - Must File Original and One Copy.

Name of Exempt Organization: Prevention Institute
Employer Identification Number: 94-3282858
Number, Street, and Room or Suite Number: 265 - 29th Street,
City, Town or Post Office, State, and ZIP Code: Oakland CA 94611

Check type of return to be filed (file a separate application for each return)

Form 990 [X] Form 990-EZ [] Form 990-T (Section 401(a) or 408(a) trust) [] Form 1041-A [] Form 5227 [] Form 8870 []
Form 990-BL [] Form 990-PF [] Form 990-T (trust other than above) [] Form 4720 [] Form 6069 []

Stop: Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

If the organization does not have an office or place of business in the United States, check this box []
If this is for a group return, enter the organizations four digit Group Exemption Number (GEN)
whole group, check this box [] . If it is part of the group, check this box [] and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until Aug 15, 20 03
5 For calendar year, or other tax year beginning Oct 1, 20 01 and ending Sep 30, 20 02
6 If this tax year is for less than 12 months, check reason. [] Initial return [] Final return [] Change in accounting period
7 State in detail why you need the extension We are currently undergoing a review of our financial statements and wish to await completion before filing. The return will be filed as expeditiously as possible.

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions \$
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868 \$
c Balance due. Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions \$

Signature and Verification

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form

Signature [Signature] Title [exec dir] Date [3/5/03]

Notice to Applicant - To be Completed by the IRS

- [X] We have approved this application. Please attach this form to the organization's return.
[] We have not approved this application. However, we have granted a 10-day grace period from the later of the date shown below or the due date of the organization's return...
[] We have not approved this application. After considering the reasons stated in item 7, we cannot grant your request for an extension of time to file. We are not granting a 10-day grace period.
[] We cannot consider this application because it was filed after the due date of the return for which an extension was granted.
[] Other

EXTENSION APPROVED

MAY 1 2003

Director [Signature] By [Signature] Date [Signature]

LINDA WEISKOPF, FIELD DIRECTOR, EXTENSION PROCESSING, OGD/FN

Alternate Mailing Address - Enter the address if you want the copy of this application for an additional 3-month extension to be sent to an address different than the one entered above

Name: Antoinette G. Nies
Number and Street (include suite, room, or apartment number) or a P O Box Number: 61 PRINCE ROYAL DRIVE
City or Town, Province or State, and Country (including postal or ZIP code): CORTEMADERA CA 94925