4 | 5 | 6 | 7 | 8 | UNITED STATES DISTRICT COURT CENTRAL DISTRICT OF CALIFORNIA

ZARLASHT K. GUL,

Plaintiff,

MEMORANDUM OPINION

MICHAEL J. ASTRUE, Commissioner of Social Security,

Defendant.

v.

I. SUMMARY

On January 8, 2009, plaintiff Zarlasht K. Gul ("plaintiff") filed a Complaint seeking review of the Commissioner of Social Security's denial of plaintiff's application for benefits. The parties have filed a consent to proceed before a United States Magistrate Judge.

This matter is before the Court on the parties' cross motions for summary judgment, respectively ("Plaintiff's Motion") and ("Defendant's Motion"). The Court has taken both motions under submission without oral argument. See Fed. R. Civ. P. 78; L.R. 7-15; January 13, 2009 Case Management Order ¶ 5.

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Based on the record as a whole and the applicable law, the decision of the Commissioner is AFFIRMED. The material findings of the Administrative Law Judge ("ALJ") regarding plaintiff's credibility are supported by substantial evidence and are free from material error.¹

II. BACKGROUND AND SUMMARY OF ADMINISTRATIVE DECISION

On August 10, 2005, plaintiff filed an application for Supplemental Security Income benefits. (Administrative Record ("AR") 186, 194). Plaintiff asserted that she became disabled on January 1, 2001, due to a neck injury, a back problem and shoulder pain. (AR 240). The ALJ examined the medical record and heard testimony from plaintiff (who was represented by counsel and assisted by an interpreter) and a vocational expert on January 10, 2007. (AR 388-99).

On February 22, 2007, the ALJ determined that plaintiff was not disabled through the date of the decision. (AR 186-92). Specifically, the ALJ found: (1) plaintiff suffered from the following severe impairments: lumbar disc disease and chronic pain syndrome (AR 188, 191); (2) plaintiff's impairments, considered singly or in combination, did not meet or medically equal one of the listed impairments (AR 188, 191); (3) plaintiff could perform a significant range of sedentary and light work (AR 192);² (4) plaintiff has no past relevant work (AR 191); and (5) there are a significant number of jobs in the national economy that

¹The harmless error rule applies to the review of administrative decisions regarding disability. See Batson v. Commissioner of Social Security Administration, 359 F.3d 1190, 1196 (9th Cir. 2004) (applying harmless error standard); see also Stout v. Commissioner, Social Security Administration, 454 F.3d 1050, 1054-56 (9th Cir. 2006) (discussing contours of application of harmless error standard in social security cases).

²The ALJ determined that plaintiff: (i) could lift and/or carry less than 10 pounds frequently and 10 pounds occasionally; (ii) could sit for 6 hours total in an 8-hour workday; (iii) could stand and/or walk for 4 hours total in an 8-hour workday; and (iv) could occasionally balance, kneel, climb, crawl, crouch and stoop. (AR 191).

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plaintiff could perform (AR 192); and (6) plaintiff's allegations regarding her limitations were not totally credible. (AR 191).

Plaintiff thereafter appealed to the Appeals Council and submitted additional evidence. (AR 8-179). The Appeals Council denied plaintiff's application for review. (AR 4-7).

III. APPLICABLE LEGAL STANDARDS

A. Sequential Evaluation Process

To qualify for disability benefits, a claimant must show that she is unable to engage in any substantial gainful activity by reason of a medically determinable physical or mental impairment which can be expected to result in death or which has lasted or can be expected to last for a continuous period of at least twelve months. Burch v. Barnhart, 400 F.3d 676, 679 (9th Cir. 2005) (citing 42 U.S.C. § 423(d)(1)(A)). The impairment must render the claimant incapable of performing the work she previously performed and incapable of performing any other substantial gainful employment that exists in the national economy. Tackett v. Apfel, 180 F.3d 1094, 1098 (9th Cir. 1999) (citing 42 U.S.C. § 423(d)(2)(A)).

In assessing whether a claimant is disabled, an ALJ is to follow a five-step sequential evaluation process:

- (1) Is the claimant presently engaged in substantial gainful activity? If so, the claimant is not disabled. If not, proceed to step two.
- (2) Is the claimant's alleged impairment sufficiently severe to limit her ability to work? If not, the claimant is not disabled. If so, proceed to step three.
- (3) Does the claimant's impairment, or combination of impairments, meet or equal an impairment listed in 20 C.F.R. Part 404, Subpart P, Appendix 1? If so, the claimant is disabled. If not, proceed to step four.

- (4) Does the claimant possess the residual functional capacity to perform her past relevant work?³ If so, the claimant is not disabled. If not, proceed to step five.
- (5) Does the claimant's residual functional capacity, when considered with the claimant's age, education, and work experience, allow her to adjust to other work that exists in significant numbers in the national economy? If so, the claimant is not disabled. If not, the claimant is disabled.

Stout v. Commissioner, Social Security Administration, 454 F.3d 1050, 1052 (9th Cir. 2006) (citing 20 C.F.R. §§ 404.1520, 416.920).

The claimant has the burden of proof at steps one through four, and the Commissioner has the burden of proof at step five. <u>Bustamante v. Massanari</u>, 262 F.3d 949, 953-54 (9th Cir. 2001) (citing <u>Tackett</u>); see also <u>Burch</u>, 400 F.3d at 679 (claimant carries initial burden of proving disability).

B. Standard of Review

Pursuant to 42 U.S.C. section 405(g), a court may set aside a denial of benefits only if it is not supported by substantial evidence or if it is based on legal error. Robbins v. Social Security Administration, 466 F.3d 880, 882 (9th Cir. 2006) (citing Flaten v. Secretary of Health & Human Services, 44 F.3d 1453, 1457 (9th Cir. 1995)). Substantial evidence is "such relevant evidence as a reasonable mind might accept as adequate to support a conclusion." Richardson v. Perales, 402 U.S. 389, 401 (1971) (citations and quotations omitted). It is more than a mere scintilla but less than a preponderance. Robbins, 466 F.3d at 882 (citing Young v. Sullivan, 911 F.2d 180, 183 (9th Cir. 1990)).

To determine whether substantial evidence supports a finding, a court must

³Residual functional capacity is "what [one] can still do despite [ones] limitations" and represents an "assessment based upon all of the relevant evidence." 20 C.F.R. § 416.945(a).

"consider the record as a whole, weighing both evidence that supports and evidence that detracts from the [Commissioner's] conclusion." <u>Aukland v. Massanari</u>, 257 F.3d 1033, 1035 (9th Cir. 2001) (quoting <u>Penny v. Sullivan</u>, 2 F.3d 953, 956 (9th Cir. 1993)). If the evidence can reasonably support either affirming or reversing the ALJ's conclusion, a court may not substitute its judgment for that of the ALJ. Robbins, 466 F.3d at 882 (citing Flaten, 44 F.3d at 1457).

IV. DISCUSSION

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Plaintiff asserts that a reversal or remand is appropriate because the ALJ materially erred in assessing her credibility. This Court disagrees.

A. Pertinent Facts

1. Plaintiff's Statements/Testimony

In an August 29, 2005 pain questionnaire, plaintiff stated: Beginning in 2001, she began to feel pain from her neck all the way to her lower back. (AR 256). Her pain was constant, but was more severe in the morning, and spread from her upper neck to her shoulders and lower back. (AR 256). The pain was brought on by activity, such as doing the same thing, picking up her son, standing or sitting for a long time, and cleaning the house. (AR 256). Medication – tylenol, salsalate, and ibuprofin – which she has taken three times a day since 2001, helps a little and relieves the pain in about thirty minutes. (AR 256). The medication causes constipation, loss of appetite, and sleepiness. (AR 257). Rest relieves the pain in thirty minutes. (AR 256). Acupuncture also relieves the pain. (AR 257). Prior to suffering from the pain, she could do the following activities that she could no longer do: walking, shopping, sitting, standing, and household chores for more than one or two hours a day. (AR 257). As of the date she completed the questionnaire, her usual daily activities consisted of: walking for 5 to 10 minutes, cooking for her kids, and doing basic household chores to the extent of her ability. (AR 257). She stops an activity due to pain every five to ten minutes. (AR 258). She needs assistance to take care of her little children. (AR 258). She is able to

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walk and stand 5 to 10 minutes at a time, and is able to sit 10 to 15 minutes at a time. (AR 258). She needs the assistance of her daughter and husband with chores. (AR 258).

At the January 10, 2007 administrative hearing, in response to the ALJ's

inquiry as to why it was that she has not worked or was not then working, plaintiff responded: "I stay at home. I take care of my children, and I work inside, in the house." (AR 392). She further testified to the following: "[N]owadays at the present" she could not work too much – her children helped her. (AR 392). "[O]therwise," she would sew and do home chores. (AR 392). Her children would help her with that. (AR 392). She could not work on her own due to the neck and back pain. (AR 392). When she would get up in the morning her neck, shoulder, both arms and back would hurt. (AR 392). She would have neck pain the whole day – not a dull pain, not an excruciating pain, but a constant pain all of the time. (AR 393). Medications would help her for a little while, but after that, the pain would start again. (AR 393). Although the pain was constant, it hurt more if she picked up something from the floor, tried to pull something from the shelf, or sat too long. (AR 393). She would get a little bit of relief when she went to the doctor and to gymnastics, when she sat on the couch and put her head back, and when she took pain medication, which also helped her. (AR 393). She had constant moderate lower back pain. (AR 394). The back pain would get aggravated when she stood for too long, sat for too long, or was working and moving all the time. (AR 394). She could not pick up her two year old child. (AR 394). She has pain in both of her shoulders and arms. (AR 394). When she gets up in the morning such pain is constant. (AR 394-95). Gymnastics helps a lot. (AR 395). Pain medication also helps but when the pain medication wears off in the evenings, the pain returns. (AR 395). She could stand for no more than 10 to 15 minutes without having to change positions due to pain. (AR 395). A gallon ///

of water or milk was too much for her to lift without pain. (AR 395). She lies down during the day due to pain. (AR 395).

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2. **Pertinent Medical Evidence**

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Beginning in at least June 2004, plaintiff was treated by Dr. Josephine Choa at the Universal Care Medical Group for complaints of pain in her neck and back. (AR 284, 291, 326). Dr. Choa prescribed medication and physical therapy. (AR 284, 326).

On May 24, 2005, x-rays of cervical, thoracic and lumbar spines were all normal. (AR 382).

In July 2005, plaintiff complained of upper and midback pain that she had suffered for two years, was diagnosed with myofascial pain and hypothyroidism, and was prescribed medication and additional physical therapy. (AR 284).

On August 29, 2005, chiropractor Gerald Weeks, who began treating plaintiff in approximately October 2003, prepared a muculoskeletal report and medical source statement which reflect the following: Plaintiff's cervical and lumbar spines had normal flexion, extension and rotation. (AR 276). Plaintiff suffered from daily tenderness in her cervical, thoracic, and lumbar joints and paravertebral muscle spasms. (AR 276). Plaintiff had subluxations, primarily in the lumbar spine. (AR 277). Plaintiff could walk one block/30 minutes without an assistive device and did not need an assistive device for balance or to walk on even or uneven terrain. (AR 277). She had no limitations in reaching, handling, fingering, or feeling. (AR 277, 280). Plaintiff's relief from treatment was temporary, and her prognosis was poor for a full pain free recovery. (AR 278, 280). Plaintiff could occasionally lift 20 pounds and frequently lift less than 10 pounds. (AR 279). She could stand and/or walk at least 2 hours in an 8 hour workday with normal breaks. (AR 279). Plaintiff could sit for 3 hours in an 8 hour workday and needed a break after sitting for 30 minutes. (AR 279). She

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could never climb, stoop, crouch or crawl, but could occasionally balance and kneel. (AR 280).

In January 2006, Dr. Choa diagnosed plaintiff with neck and upper back pain and muscle spasms. (AR 345). She opined that plaintiff had the ability to independently initiate/sustain/complete daily activities, sufficient lower extremity functioning to permit independent ambulation without the use of any assistive device, and effective usage of her upper extremities for reaching, grasping and fingering. (AR 345). However, Dr. Choa noted that plaintiff would suffer neck and back pain in reaching, handling or fingering and may be limited in her ability to push and pull due to her neck/back pain and muscle spasms. (AR 345, 347). She indicated that plaintiff's sensation was grossly intact. (AR 346). She was unable to detect any abnormality in plaintiff's range of motion in all joints, and noted no swelling, warmth, redness, or tenderness in plaintiff's joints. (AR 346). She reported that plaintiff had been referred to chiropractic care but that, according to plaintiff, such care did not relieve her symptoms much. (AR 348). In terms of a prognosis, Dr. Choa noted that plaintiff had not improved much with treatment. (AR 348). She also noted, however, that plaintiff would come to her office alone and did not require assistance. (AR 349).

On February 25, 2006, plaintiff had MRIs on her cervical and lumbar spines. (AR 350-51, 378-79). The MRI of the cervical spine showed a mild reversal of the normal cervical lordosis and was otherwise unremarkable. (AR 378-79). The MRI of the lumbar spine showed a 3 mm central disc protrusion at L5-S1 with an annular tear, causing mild narrowing of the spinal canal and a mild facet arthropathy at L5-S1, but was otherwise unremarkable. (AR 350-51, 376-77). Treatment notes dated November 9, 2006, reflect that the results of the cervical and lumbar spine MRIs were "not significant." (AR 355).

March 2006 treatment notes from Dr. Choa reflect that plaintiff suffered from neck and back muscle spasms and chronic neck and back pain. (AR 362).

June 2006 treatment notes from Dr. Choa's office reflect that plaintiff was English speaking and had chronic neck and back pain requiring more physical therapy. (AR 359).

On November 9, 2006, plaintiff again complained of pain in her back, was diagnosed with neck pain and hypothyroidism, and was treated with medications. (AR 355).⁴

3. ALJ's Credibility Assessment

After summarizing the medical evidence in the record, the ALJ determined that plaintiff suffers from a medically determined impairment which could be expected to produce some pain. (AR 189). He noted that because plaintiff's allegations of disability due to pain were based primarily on plaintiff's subjective symptoms, her credibility was a major factor. (AR 189). The ALJ found that plaintiff's testimony and evidence, although appearing sincere, were not fully credible regarding the extent, intensity, and duration of the alleged subjective pain and functional limitations and restrictions "for the reasons stated above." (AR 189).

In making the last above-noted statement, it appears that the ALJ was referring to the four preceding paragraphs. In such paragraphs, the ALJ noted the following: (1) at the hearing, plaintiff's thoughts did not seem to wander and all questions were answered alertly and appropriately; (2) although plaintiff testified that she has pain in her neck, arms, shoulder and low back, and takes medications which "help for a little while," there was "no credible evidence that the regular usage of those medications to alleviate pain would significantly impair [plaintiff's]

⁴Additional medical records from Dr. Choa through February 13, 2007, were submitted to the Appeals Council after the ALJ issued his decision. (AR 19-178). Such records, which were somewhat duplicative of the records which were already in the record, reflect, among other things, that plaintiff has chronic back pain/chronic lower back pain/chronic neck pain, complained of neck, back and shoulder pain, and required physical therapy and medication for such pain. (AR 20, 24, 26, 29, 31, 33, 36, 44, 50, 61, 62, 157, 158).

ability to do basic work activities" and "no evidence in the medical record of any significant side effects; (3) in an August 29, 2005 pain questionnaire, plaintiff noted only minor side effects from her medications, and indicated that her medication usually relieved her pain after 30 minutes; (4) plaintiff's statements and conduct reflect that she is able to read, write and understand English and to communicate with her doctors/their staff without an interpreter (conduct which the ALJ presumably found to be inconsistent with plaintiff's use of an interpreter at the administrative hearing); (5) although plaintiff indicated that she was able to perform only very limited daily activities, the great weight of the evidence showed that she was at least capable of performing activities including basic household chores, cooking and caring for her children, and that plaintiff had not performed any substantial gainful activity because she worked in the house and took care of her children (rather, presumably, than because she was unable to do so). (AR 189).

B. Pertinent Law

An ALJ is not required to believe every allegation of disabling pain or other non-exertional impairment. Orn v. Astrue, 495 F.3d 625, 635 (9th Cir. 2007) (citing Fair v. Bowen, 885 F.2d 597, 603 (9th Cir. 1989)). If the record establishes the existence of a medically determinable impairment that could reasonably give rise to symptoms assertedly suffered by a claimant, an ALJ must make a finding as to the credibility of the claimant's statements about the symptoms and their functional effect. Robbins, 466 F.3d 880 at 883 (citations omitted). Where the record includes objective medical evidence that the claimant suffers from an impairment that could reasonably produce the symptoms of which the claimant complains, an adverse credibility finding must be based on clear and convincing reasons. Carmickle v. Commissioner, Social Security Administration, 533 F.3d 1155, 1160 (9th Cir. 2008) (citations omitted). The only time this standard does not apply is when there is affirmative evidence of malingering. Id. The ALJ's

credibility findings "must be sufficiently specific to allow a reviewing court to conclude the ALJ rejected the claimant's testimony on permissible grounds and did not arbitrarily discredit the claimant's testimony." Moisa v. Barnhart, 367 F.3d 882, 885 (9th Cir. 2004).

To find the claimant not credible, an ALJ must rely either on reasons unrelated to the subjective testimony (*e.g.*, reputation for dishonesty), internal contradictions in the testimony, or conflicts between the claimant's testimony and the claimant's conduct (*e.g.*, daily activities, work record, unexplained or inadequately explained failure to seek treatment or to follow prescribed course of treatment). Orn, 495 F.3d at 636; Robbins, 466 F.3d at 883; Burch, 400 F.3d at 680-81; SSR 96-7p. Although an ALJ may not disregard such claimant's testimony solely because it is not substantiated affirmatively by objective medical evidence, the lack of medical evidence is a factor that the ALJ can consider in his credibility assessment. Burch, 400 F.3d at 681.

Where some reasons supporting an ALJ's credibility analysis are found invalid, the error is harmless if the remaining reasons provide substantial evidence to support the ALJ's credibility conclusions and the error does not negate the validity of the ALJ's ultimate credibility conclusion. See Carmickle, 533 F.3d at 1162 (citing Batson, 359 F.3d at 1195) (citation and internal quotation marks omitted).

Questions of credibility and resolutions of conflicts in the testimony are functions solely of the Commissioner. <u>Greger v. Barnhart</u>, 464 F.3d 968, 972 (9th Cir. 2006). If the ALJ's interpretation of the claimant's testimony is reasonable and is supported by substantial evidence, it is not the court's role to "second-guess" it. Rollins v. Massanari, 261 F.3d 853, 857 (9th Cir. 2001).

C. Analysis

Plaintiff asserts that the ALJ failed properly to assess plaintiff's credibility and that a reversal or remand is appropriate on such basis. While one or two of the

reasons cited by the ALJ do not appear to support the rejection of plaintiff's complaints of pain, a remand or reversal is not appropriate because other reasons noted by the ALJ are clear and convincing and are supported by substantial evidence and any error does not negate the validity of the ALJ's ultimate credibility conclusion in this case. The Court addresses the ALJ's reasoning below.

First, it is unclear to the Court how the fact that plaintiff's thoughts did not seem to wander and all questions were answered alertly and appropriately at the hearing is a basis upon which to discount plaintiff's subjective pain complaints. Plaintiff asserted that she was physically unable to work due to her pain – not that the pain prevented her from thinking clearly or otherwise impacted her mental abilities. This Court is not persuaded that this first reason articulated by the ALJ constitutes a clear and convincing reason to discount plaintiff's subjective pain complaints.

Second, contrary to plaintiff's current assertion, substantial evidence in the record does support the ALJ's determination that plaintiff's medications relieve her pain within 30 minutes. (Plaintiff's Motion at 6). In so stating, the ALJ referred to plaintiff's representation in an August 29, 2005 pain questionnaire. (AR 189). In such questionnaire, plaintiff stated that medication usually relieved her pain in thirty minutes. (AR 256). The ALJ also accurately noted that plaintiff testified that medications would help her for a little while. (AR 189, 393, 395). When viewed in the context of Dr. Choa's opinion that plaintiff had the ability to independently initiate/sustain/complete daily activities, sufficient lower extremity functioning to permit independent ambulation without the use of any assistive device, and effective usage of her upper extremities for reaching, grasping and fingering (AR 345), this Court finds no error in the ALJ's conclusion that plaintiff's complaints should be discounted to the extent they suggested that she was unable to do basic work activities while on pain medication. While plaintiff

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may constantly be in pain, it was not error for the ALJ to conclude, contrary to plaintiff's subjective complaints, that she could nonetheless work while on pain medication.

Third, the Court is not persuaded that plaintiff's statements and conduct reflecting an ability to read, write, understand and communicate in English is inconsistent with the fact that she utilized an interpreter during the administrative hearing or that such asserted inconsistency constitutes a clear and convincing reason to discount her subjective pain complaints. As plaintiff suggests, the fact that someone who is capable of communicating in English, but whose first language is not English, desires an interpreter at a formal hearing where she is being called upon to testify under oath, is not indicative of dishonesty. The record does not reflect that plaintiff tried to persuade the ALJ that she was unable to work based upon difficulties with the English language.

Finally, substantial evidence in the record supports the ALJ's determination that although plaintiff indicated that she was able to perform only very limited daily activities, the weight of the evidence showed that she was at least capable of performing activities including basic household chores, cooking and caring for her children, and that plaintiff had not performed any substantial gainful activity because she worked in the house and took care of her children rather, than because she was unable to do so. As noted above, plaintiff testified, in response to the ALJ's question about why she did not work, that she stayed at home, took care of her children and worked inside the house. (AR 392). Although plaintiff then equivocated about the amount and degree of work she could do without assistance in light of her pain, it was reasonable for the ALJ to infer that plaintiff meant what she originally said, particularly in light of the opinion of plaintiff's primary treating physician, Dr. Choa, that plaintiff had the ability to independently initiate/sustain/complete daily activities, sufficient lower extremity functioning to permit independent ambulation without the use of any assistive device, and

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effective usage of her upper extremities for reaching, grasping and fingering (AR 345). As Dr. Choa also noted, plaintiff was able to come to Dr. Choa's office alone and did not require assistance. (AR 349). As substantial evidence supports the ALJ's conclusion that plaintiff's activities were inconsistent with her position that she could not work due to her pain, such inconsistency is a clear and convincing reason to discount plaintiff's complaints regarding her inability to work due to her pain.

As noted above, although the Court is not persuaded the two of the bases upon which the ALJ discredited plaintiff's pain testimony were appropriate, the other two reasons cited by the ALJ are clear and convincing and are supported by substantial evidence. The Court further concludes that any error by the ALJ in discounting plaintiff's credibility on the first and third bases noted above does not negate the validity of the ALJ's ultimate credibility conclusion in this case. Accordingly, a reversal or remand is not warranted.

V. CONCLUSION

For the foregoing reasons, the decision of the Commissioner of Social Security is affirmed.

LET JUDGMENT BE ENTERED ACCORDINGLY.

DATED: December 28, 2009

<u>/s/</u>

Honorable Jacqueline Chooljian
UNITED STATES MAGISTRATE JUDGE