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UNITED STATES DISTRICT COURT
EASTERN DISTRICT OF WASHINGTON

TIMOTHY DOTEN,

Plaintiff,

v.

CAROLYN W. COLVIN,
Commissioner of Social Security,

Defendant.

No. 1:15-CV-03059-JTR

ORDER GRANTING PLAINTIFF'S
MOTION FOR SUMMARY
JUDGMENT

BEFORE THE COURT are cross-Motions for Summary Judgment. ECF No. 21, 22. Attorney D. James Tree represents Timothy Allen Doten (Plaintiff); Special Assistant United States Attorney Richard M. Rodriguez represents the Commissioner of Social Security (Defendant). The parties have consented to proceed before a magistrate judge. ECF No. 9. After reviewing the administrative record and the briefs filed by the parties, the Court **GRANTS, in part**, Plaintiff's Motion for Summary Judgment; **DENIES** Defendant's Motion for Summary Judgment; and **REMANDS** the matter to the Commissioner for additional proceedings pursuant to 42 U.S.C. § 405(g).

1 1039 (9th Cir. 1995). The Court reviews the ALJ's determinations of law de novo,
2 deferring to a reasonable interpretation of the statutes. *McNatt v. Apfel*, 201 F.3d
3 1084, 1087 (9th Cir. 2000). The decision of the ALJ may be reversed only if it is
4 not supported by substantial evidence or if it is based on legal error. *Tackett v.*
5 *Apfel*, 180 F.3d 1094, 1097 (9th Cir. 1999). Substantial evidence is defined as
6 being more than a mere scintilla, but less than a preponderance. *Id.* at 1098. Put
7 another way, substantial evidence is such relevant evidence as a reasonable mind
8 might accept as adequate to support a conclusion. *Richardson v. Perales*, 402
9 U.S. 389, 401 (1971). If the evidence is susceptible to more than one rational
10 interpretation, the court may not substitute its judgment for that of the ALJ.
11 *Tackett*, 180 F.3d at 1097. Nevertheless, a decision supported by substantial
12 evidence will be set aside if the proper legal standards were not applied in
13 weighing the evidence and making the decision. *Browner v. Secretary of Health*
14 *and Human Services*, 839 F.2d 432, 433 (9th Cir. 1988). If substantial evidence
15 supports the administrative findings, or if conflicting evidence supports a finding
16 of either disability or non-disability, the ALJ's determination is conclusive.
17 *Sprague v. Bowen*, 812 F.2d 1226, 1229-1230 (9th Cir. 1987).

18 **SEQUENTIAL EVALUATION PROCESS**

19 The Commissioner has established a five-step sequential evaluation process
20 for determining whether a person is disabled. 20 C.F.R. §§ 404.1520(a),
21 416.920(a); *see Bowen v. Yuckert*, 482 U.S. 137, 140-142 (1987). In steps one
22 through four, the burden of proof rests upon the claimant to establish a *prima facie*
23 case of entitlement to disability benefits. *Tackett*, 180 F.3d at 1098-1099. This
24 burden is met once a claimant establishes that physical or mental impairments
25 prevent him from engaging in his previous occupations. 20 C.F.R. §§
26 404.1520(a)(4), 416.920(a)(4). If a claimant cannot do his past relevant work, the
27 ALJ proceeds to step five, and the burden shifts to the Commissioner to show that
28 (1) the claimant can make an adjustment to other work, and (2) specific jobs exist

1 in the national economy which the claimant can perform. *Batson v. Comm'r of*
2 *Soc. Sec. Admin.*, 359 F.3d 1190, 1193-1194 (2004). If the claimant cannot make
3 an adjustment to other work in the national economy, a finding of “disabled” is
4 made. 20 C.F.R. §§ 404.1520(a)(4)(v), 416.920(a)(4)(v).

5 **ADMINISTRATIVE DECISION**

6 On November 8, 2013, the ALJ issued a decision finding Plaintiff was not
7 disabled as defined in the Social Security Act.

8 At step one, the ALJ found Plaintiff had not engaged in substantial gainful
9 activity since July 31, 2009, the alleged date of onset. Tr. 15-16.

10 At step two, the ALJ determined Plaintiff had the following severe
11 impairments: lumbar spine degenerative disc disease; spina bifida occulta; hearing
12 loss; Pierre Robin syndrome; obesity; major depressive disorder; bipolar disorder;
13 obstructive sleep apnea; asthma; hernia; and gouty arthritis. Tr. 16-20.

14 At step three, the ALJ found Plaintiff did not have an impairment or
15 combination of impairments that met or medically equaled the severity of one of
16 the listed impairments. Tr. 20-21.

17 At step four, the ALJ assessed Plaintiff’s residual function capacity and
18 determined he could perform a range of light work with the following limitations:

19 He can lift up to 20 pounds occasionally, lift and/or carry up to 10
20 pounds frequently; stand and/or walk about 6 hours in an 8-hour day
21 with normal breaks; sit about 6 hours in an 8-hour day with normal
22 breaks; occasionally balance, stoop, kneel, and crouch; never climb
23 ladders, ropes, scaffolds, ramps or stairs; and never crawl. He should
24 avoid concentrated exposure to vibration and moderate exposure to
25 hazards. He can perform simple, routine tasks and follow short, simple
26 instructions. He can do work that needs little or no judgment and can
27 perform simple duties that can be learned on the job in a short period.
28 He would have average ability to perform sustained work activities (i.e.
can maintain attention and concentration; persistence and pace) in an
ordinary work setting on a regular and continuing basis (i.e., 8 hours a
day, for 5 days a week, or an equivalent work schedule) within
customary tolerances of employers rules regarding sick leave and

1 absence. He needs a work environment with minimal supervisor
2 contact. (Minimal contact does not preclude all contact, rather it means
3 contact does not occur regularly. Minimal contact also does not
4 preclude simple and superficial exchanges and it does not preclude
5 being in proximity to the supervisor.) He can work in proximity to a
6 few co-workers but not in a cooperative or team effort. He needs a
7 work environment that requires minimal interactions with a few co-
8 workers. He needs a work environment that is predictable and with few
9 work setting changes. He would not deal with the general public as in
10 a sales position or where the general public is frequently encountered
11 as an essential element of the work process. Incidental contact of a
12 superficial nature with the general public is not precluded. He can work
13 in a very quiet to moderate noise intensity level as those terms are
14 defined in the Selected Characteristics of Occupations (SCO) in the
15 Revised Dictionary of Occupational Titles. He may wear a protective
16 hearing device in a work environment that involves loud or very loud
17 noise intensity levels. He would not be required to answer telephones
18 or use headsets, radios or other 2-way communication devices. He can
19 communicate with others such as coworkers, supervisors and the public
20 but not in jobs where communications are required under stressful or
21 emergency situations or in a work environment that involves loud or
22 very loud noise intensity levels. No immediate verbal response is
23 required unless clarification of instructions or orders is needed.

18 Tr. 21-22. The ALJ found Plaintiff's past relevant work to include cashier II, fast
19 food cook, agricultural produce sorter, janitor, cook helper, and labeling machine
20 operator. Tr. 27. The ALJ concluded that Plaintiff was not able to perform his
21 past relevant work. *Id.*

22 At step five, the ALJ determined that, considering Plaintiff's age, education,
23 work experience and residual functional capacity and based on the testimony of the
24 vocational expert, there were other jobs that exist in significant numbers in the
25 national economy Plaintiff could perform, including the jobs of cleaner
26 housekeeper, hand packager, parking lot attendant, document preparer, and
27 assembler. Tr. 28. The ALJ concluded Plaintiff was not under a disability within
28 the meaning of the Social Security Act at any time from July 31, 2009, through the

1 date of the ALJ's decision, November 8, 2013. *Id.*

2 ISSUES

3 The question presented is whether substantial evidence supports the ALJ's
4 decision denying benefits and, if so, whether that decision is based on proper legal
5 standards. Plaintiff contends the ALJ erred by (1) failing to properly assess
6 whether Plaintiff met or equaled Listing 2.10; (2) failing to accurately limit
7 Plaintiff's residual functional capacity to a quiet work environment; (3) failing to
8 properly weigh medical source opinions; (4) failing to allow Plaintiff's
9 representative to complete his cross examination of the vocational expert at the
10 hearing; and (5) failing to properly consider Plaintiff's credibility.

11 DISCUSSION

12 A. Listing 2.10

13 Plaintiff challenges the ALJ's step three determination that Plaintiff did not
14 meet or equal Listing 2.10. ECF No. 21 at 12-16.

15 Conditions contained in the "Listing of Impairments" are considered so
16 severe that they are irrefutably presumed disabling without any specific finding as
17 to a claimant's ability to perform his past relevant work or any other jobs. 20
18 C.F.R. §§ 404.1520(d), 416.920(d). A claimant is conclusively disabled if his
19 condition either meets or equals a listed impairment. *Id.* A claimant must show
20 more than a mere diagnosis of a listed impairment; he must show that he has a
21 "medically determinable" impairment or impairments that satisfy all of the criteria
22 in the applicable listing. 20 C.F.R. §§ 404.1525(d); 416.925(d); *Key v. Heckler*,
23 754 F.2d 1545, 1549-1550 (9th Cir. 1985).

24 Listing 2.10, titled "Hearing loss not treated with cochlear implantation," is
25 met by showing the following:

26 A. An average air conduction hearing threshold of 90 decibels or
27 greater in the better ear and an average bone conduction hearing
28 threshold of 60 decibels or greater in the better ear (see 2.00B2c).

1 OR

2
3 B. A word recognition score of 40 percent or less in the better ear
4 determined using a standardized list of phonetically balanced
5 monosyllabic words (see 2.00B2e).

6 20 C.F.R. Pt. 404, Subpt. P, App. 1.

7 The Ninth Circuit has held that “in determining whether a claimant equals a
8 listing under step three of the Secretary’s disability evaluation process, the ALJ
9 must explain adequately his evaluation of alternative tests and the combined effects
10 of the impairments.” *Marcia v. Sullivan*, 900 F.2d 172, 176 (9th Cir. 1990). A
11 mere statement that a claimant does not equal the listing is insufficient. *See Id.*

12 Here, the ALJ’s analysis of Listing 2.10 was limited, stating Plaintiff’s
13 “hearing impairment is evaluated under listing 2.10. His degree of hearing loss
14 prevented evaluation of bone conduction. In the better ear, he has a speech
15 receptor threshold of 80 decibels. I note that the claimant has been provided with a
16 digital hearing device.” Tr. 20.

17 The record contains one hearing test in the relevant time period, dated
18 January 19, 2010. Tr. 357-358. This testing revealed air conduction in the right
19 ear at 110 dB at 500 Hz and >110 dB at 1000 Hz and 2000 Hz. Tr. 357. This
20 places the air conduction average in the right ear greater than 90 dB.¹ The air
21 conduction in the left ear was between 100 dB and 110 dB at 500 Hz, 90 dB at
22 1000 Hz, and between 80 dB and 90 dB at 2000 Hz. *Id.* This places the average in
23 the left ear around 90 dB. As for bone conduction, in the right ear, testing could
24 not be performed due to the degree of Plaintiff’s hearing loss. Tr. 358. In the left

25
26 ¹2.00B2c directs that “[t]o determine whether your hearing loss meets the air
27 and bone conduction criteria in 2.10A, we will average your air and bone
28 conduction hearing thresholds at 500, 1000, and 2000 Hertz (Hz).”

1 ear, bone conduction was between 40 dB and 50 dB at 500 Hz, 40 dB at 1000 Hz,
2 and 70 dB at 2000 Hz. Tr. 357. As for word recognition testing, due to the degree
3 of Plaintiff's hearing loss, testing could not be performed in the right ear. Tr. 358.
4 In the left ear, Plaintiff could discriminate 88% of words at 105 dB HL. Tr. 357.²

5 Air conduction, bone conduction, and word recognition tests are the tests
6 used to establish Listing 2.10. The ALJ failed to discuss any of these test results in
7 his decision when evaluating Plaintiff's eligibility under Listing 2.10, except for
8 the inability to test Plaintiff's bone conduction on the right. Tr. 20. The ALJ's
9 failure to address the evidence specific to a Listing is an error. Additionally, the
10 ALJ failed to address whether or not Plaintiff's impairments equaled Listing 2.10.
11 Tr. 20. Therefore, the case is remanded for the ALJ to reconsider whether or not
12 Plaintiff meets or equals Listing 2.10. Since it has been several years since
13 Plaintiff's last hearing test, the ALJ is instructed to supplement the record with any
14 outstanding hearing tests and if there are no outstanding hearing tests, the ALJ is
15 instructed to send Plaintiff out for a consultative examination that includes air
16 conduction, bone conduction, and word recognition testing. The ALJ is instructed
17 to review the new evidence in combination with the January 2010 testing to
18 determine if at any point Plaintiff either met or equaled Listing 2.10.

19 **B. Residual Functional Capacity**

20 Plaintiff challenges the ALJ's residual functional capacity determination,
21 specifically that Plaintiff was capable of working in an environment with a
22 moderate noise intensity level. ECF No. 21 at 16-19.

23 A claimant's residual functional capacity is "the most [a claimant] can still
24 do despite [his] limitations." 20 C.F.R. § 416.945(a); *see also* 20 C.F.R. Part 404,

25
26 ²*See* 1 DAVID A. MORTON, III, M.D., SOCIAL SECURITY DISABILITY MEDICAL
27 TESTS 128-134 (1st ed. 2015) (the Court relied on this section to accurately read
28 and transcribe the Pure Tone Audiometry conducted on January 19, 2010).

1 Subpart P, Appendix 2, § 200.00(c) (defining residual functional capacity as the
2 “maximum degree to which the individual retains the capacity for sustained
3 performance of the physical-mental requirements of jobs”). In formulating a
4 residual functional capacity determination, the ALJ weighs medical and other
5 source opinions, considers the claimant’s credibility, and ability to perform daily
6 activities. *See, e.g., Bray v. Comm’r, Soc. Sec. Admin.*, 554 F.3d 1219, 1226 (9th
7 Cir. 2009).

8 Here, the ALJ determined Plaintiff was capable of working in “a very quiet
9 to moderate noise intensity level as those terms are defined in the Selected
10 Characteristic of Occupations (SCO) in the Revised Dictionary of Occupational
11 Titles.” Tr. 21. The SCO provides illustrative examples of the various noise
12 intensity levels: the very quiet examples are “isolation booth for hearing test; deep
13 sea diving; forest rail”; the quiet examples are “library; many private offices;
14 funeral reception; golf course; art museum”; and the moderate examples are
15 “business office where type-writers are used; department store; grocery store; light
16 traffic; fast food restaurant at off-hours.” Appendix D, Environmental Conditions,
17 SELECTED CHARACTERISTICS OF OCCUPATIONS DEFINED IN THE REVISED
18 DICTIONARY OF OCCUPATIONAL TITLES.

19 Plaintiff argues that he is limited from very quiet to quiet work environments
20 and that the ALJ’s determination that he could perform work in a moderate noise
21 level intensity is not supported by substantial evidence. ECF No. 21 at 16-19.
22 Plaintiff points to the six places in the record in which providers limit his noise
23 intensity level. *Id.* at 17-18.

24 Considering this case is being remanded for other reasons, including the
25 weighing of medical source opinions, as addressed below, the ALJ is instructed to
26 form a new residual functional capacity assessment including any of Plaintiff’s
27 limitations to noise intensity in the work environment and to explain why the
28 residual functional capacity deviates, if at all, from the medical sources opinions in

1 the record. *See* S.S.R. 96-8p.

2 **C. Medical Source Statements**

3 Plaintiff challenges the weight given to the opinions of Mary Pellicer, M.D.,
4 Brent Packer, M.D., Erin See, ARNP, and Laurie Jones, MSW, LMHC. ECF No.
5 21 at 20-25.

6 In weighing medical source opinions, the ALJ should distinguish between
7 three different types of physicians: (1) treating physicians, who actually treat the
8 claimant; (2) examining physicians, who examine but do not treat the claimant;
9 and, (3) nonexamining physicians who neither treat nor examine the claimant.
10 *Lester v. Chater*, 81 F.3d 821, 830 (9th Cir. 1995). The ALJ should give more
11 weight to the opinion of a treating physician than to the opinion of an examining
12 physician. *Orn v. Astrue*, 495 F.3d 625, 631 (9th Cir. 2007). The ALJ should give
13 more weight to the opinion of an examining physician than to the opinion of a
14 nonexamining physician. *Id.*

15 When a treating physician’s opinion is not contradicted by another
16 physician, the ALJ may reject the opinion only for “clear and convincing” reasons.
17 *Baxter v. Sullivan*, 923 F.2d 1391, 1396 (9th Cir. 1991). When a treating
18 physician’s opinion is contradicted by another physician, the ALJ is only required
19 to provide “specific and legitimate reasons” for rejecting the opinion of the first
20 physician. *Murray v. Heckler*, 722 F.2d 499, 502 (9th Cir. 1983). Likewise, when
21 an examining physician’s opinion is not contradicted by another physician, the
22 ALJ may reject the opinion only for “clear and convincing” reasons. *Lester*, 81
23 F.2d at 830. When an examining physician’s opinion is contradicted by another
24 physician, the ALJ is only required to provide “specific and legitimate reasons” for
25 rejecting the opinion of the examining physician. *Id.* at 830-831.

26 The specific and legitimate standard can be met by the ALJ setting out a
27 detailed and thorough summary of the facts and conflicting clinical evidence,
28 stating his interpretation thereof, and making findings. *Magallanes v. Bowen*, 881

1 F.2d 747, 751 (9th Cir. 1989). The ALJ is required to do more than offer his
2 conclusions, he “must set forth his interpretations and explain why they, rather
3 than the doctors’, are correct.” *Embrey v. Bowen*, 849 F.2d 418, 421-422 (9th Cir.
4 1988).

5 **1. Mary Pellicer, M.D.**

6 Dr. Pellicer completed a consultative examination of Plaintiff on February 9,
7 2012. She reviewed medical records, interviewed Plaintiff, and performed a
8 physical examination. Tr. 429-434. Based on this, Dr. Pellicer diagnosed Plaintiff
9 with profound bilateral hearing loss with no useful hearing on the right and the
10 ability to hear fairly well with a hearing aid in the left ear in a totally quiet
11 environment, Pierre Roban complex of malformations with a repaired cleft palate,
12 chronic low back pain of uncertain etiology, and foot pain secondary to
13 malformations. Tr. 433-434. Dr. Pellicer opined that Plaintiff was able to stand
14 and walk for four to six hours in an eight-hour day with more frequent breaks due
15 to chronic back and foot pain; able to sit for about six hours cumulatively in an
16 eight-hour day with more frequent breaks due to chronic back pain; did not need
17 assistance devices; would be capable of lifting and carrying less than ten pounds
18 occasionally due to chronic back and foot pain; unable to bend, squat, crawl, kneel
19 or climb due to chronic back pain; had no manipulative restrictions; was able to
20 see, speak, and drive independently and do all necessary daily self-care activities;
21 and was unable to hear in the right ear and his hearing was “significantly decreased
22 on the left and he probably would not be able to hear adequately in anything but a
23 very quiet environment, even with his hearing aid.” Tr. 434.

24 The ALJ gave Dr. Pellicer’s opinion “some weight,” but rejected the
25 “portion regarding the claimant’s limited ability to stand and walk, lift less than 10
26 pounds, the need for frequent breaks, and the inability to bend, squat, crawl, kneel
27 or climb.” Tr. 25. The ALJ concluded that these restrictions were “inconsistent
28 with the objective findings in [Dr. Pellicer’s] report and in the longitudinal record.

1 The claimant had 5/5 strength when examined by Dr. Pellicer. His range of motion
2 findings have been variable in the longitudinal record but typically are not severely
3 limited.” *Id.*

4 Dr. Pellicer’s opinion was that Plaintiff’s limitations in standing, walking,
5 lifting, bending, squatting, crawling, kneeling, and climbing were due to pain, and
6 not decreased strength or range of motion. Tr. 434. Therefore, the ALJ’s notation
7 of normal strength and range of motion testing is not inconsistent with the pain Dr.
8 Pellicer based her opinion on. The ALJ’s reasons do not meet the specific and
9 legitimate standard.

10 On remand, the ALJ is instructed to readdress Dr. Pellicer’s opinion.

11 **2. Brent Packer, M.D., Erin See, ARNP, and Laurie Jones, MSW,**
12 **LMHC.**

13 Plaintiff also challenges the weight the ALJ gave to the opinions of Dr.
14 Packer, Ms. See, and Ms. Jones. ECF No. 21 at 22-25. Considering the case is
15 being remanded, the ALJ is instructed to readdress the weight given to all the
16 medical source opinions in the record.

17 **D. Cross Examination of Vocational Expert**

18 Plaintiff challenges the ALJ’s decision to terminate his representative’s cross
19 examination of the vocational expert at the hearing before he could complete his
20 questioning. ECF No. 21 at 25-26.

21 A claimant in a disability hearing is entitled to “such cross-examination as
22 may be required for a full and true disclosure of the facts.” *Solis v. Schweiker*, 719
23 F.2d at 301, 302 (9th Cir. 1983), *citing* 5 U.S.C. § 556(d). “The ALJ has discretion
24 to decide when cross-examination is warranted,” yet a denial of the request to cross
25 examine an expert, whose opinion is crucial to the ALJ’s decision can be an abuse
26 of discretion because such cross examination is “required for a full and true
27 disclosure of the facts.” *Solis*, 719 F.2d at 302.

28 Here, the ALJ did not allow Plaintiff’s representative to continue his cross

1 examination of the vocational expert due to time. Tr. 84-85. Defendant argues
2 that the ALJ acted within his discretion because Plaintiff's representative was
3 asking about hypotheticals with limitations that were not supported by the record.
4 ECF No. 22 at 12. The last two questions the representative asked were regarding
5 the need to take additional breaks and an acceptable amount for an employee to be
6 off task. Tr. 84-85. Dr. Pellicer's opinion cited the need for more frequent breaks
7 due to pain. Tr. 434. Ms. Jones' opinion included a marked limitation in the
8 ability to maintain attention and concentration for extended periods and sustain an
9 ordinary routine without special supervision. Tr. 462. Ms. See's opinion included
10 a need to lie down four to five times a day for 30 minutes at a time. Tr. 465.
11 Therefore, the representative's questions were not without some basis in the
12 record. Additionally, Plaintiff was not given the opportunity to submit his final
13 questions to the expert in the form of interrogatories. Therefore, the ALJ abused
14 his discretion in not allowing Plaintiff's representative an opportunity to complete
15 his questioning of the vocational expert.

16 Considering the ALJ has been instructed to form a new residual functional
17 capacity determination on remand, the ALJ is further instructed to elicit testimony
18 from a vocational expert for any determination made at steps four and five on
19 remand.

20 **E. Credibility**

21 Plaintiff contests the ALJ's adverse credibility determination in this case.
22 ECF No. 21 at 26-28.

23 It is generally the province of the ALJ to make credibility determinations,
24 *Andrews*, 53 F.3d at 1039, but the ALJ's findings must be supported by specific
25 cogent reasons, *Rashad v. Sullivan*, 903 F.2d 1229, 1231 (9th Cir. 1990). Absent
26 affirmative evidence of malingering, the ALJ's reasons for rejecting the claimant's
27 testimony must be "specific, clear and convincing." *Smolen v. Chater*, 80 F.3d
28 1273, 1281 (9th Cir. 1996); *Lester*, 81 F.3d at 834.

1 testing. At any hearing on remand, the ALJ is instructed to elicit testimony from a
2 medical expert as to whether or not Plaintiff's hearing impairments meet or equal a
3 listing and, if they do not, to provide a narrative residual functional capacity
4 opinion as to any limitations resulting from Plaintiff's hearing impairments.

5 **CONCLUSION**

6 Accordingly, **IT IS ORDERED:**

7 1. Defendant's Motion for Summary Judgment, **ECF No. 22**, is
8 **DENIED.**

9 2. Plaintiff's Motion for Summary Judgment, **ECF No. 21**, is
10 **GRANTED, in part**, and the matter is **REMANDED** to the Commissioner for
11 additional proceedings consistent with this Order.

12 3. Application for attorney fees may be filed by separate motion.

13 The District Court Executive is directed to file this Order and provide a copy
14 to counsel for Plaintiff and Defendant. **Judgment shall be entered for Plaintiff**
15 **and the file shall be CLOSED.**

16 DATED June 2, 2016.



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A handwritten signature in black ink, appearing to be "M" or "Rodgers".

JOHN T. RODGERS
UNITED STATES MAGISTRATE JUDGE