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UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA

EVA ARENAS,)	No. CV 14-9117 AS
)	
Plaintiff,)	MEMORANDUM OPINION AND
v.)	ORDER OF REMAND
)	
CAROLYN W. COLVIN,)	
Acting Commissioner of Social)	
Security,)	
)	
Defendant.)	
)	

Pursuant to Sentence 4 of 42 U.S.C. § 405(g), IT IS HEREBY ORDERED that this matter is remanded for further administrative action consistent with this Opinion.

I. PROCEEDINGS

On August 10, 2011, Plaintiff Eva Arenas ("Plaintiff") applied for supplemental security income and disability insurance benefits alleging a disabling condition beginning June 30, 2007. (AR 184-93). On January 14, 2013, Administrative Law Judge ("ALJ") Gail Reich

1 examined the records and heard testimony from Plaintiff, medical
2 experts Thomas Maxwell and Glenn Griffin, and vocational expert
3 ("V.E.") June Hagen. (AR 48-71). On March 18, 2013, the ALJ denied
4 Plaintiff benefits in a written decision. (AR 17-33). The Appeals
5 Council denied review of the ALJ's decision. (AR 1-3).

6
7 On December 1, 2014, Plaintiff filed a Complaint pursuant to
8 42 U.S.C. §§ 405(g) and 1383(c)(3) alleging that the Social Security
9 Administration erred in denying benefits. (Docket Entry No. 3). On
10 April 14, 2015, Defendant filed an Answer to the Complaint, (Docket
11 Entry No. 12), and the Certified Administrative Record ("AR"),
12 (Docket Entry No. 13). The parties have consented to proceed before
13 a United States Magistrate Judge. (Docket Entry Nos. 9, 10). On
14 November 25, 2015, the parties filed a Joint Stipulation ("Joint
15 Stip.") setting forth their respective positions on Plaintiff's
16 claims. (Docket Entry No. 23).

17 18 **II. SUMMARY OF ALJ'S DECISION**

19
20 The ALJ applied the five-step process in evaluating Plaintiff's
21 case. (AR 18-19). At step one, the ALJ determined that Plaintiff
22 had not engaged in substantial gainful activity after the alleged
23 onset date. (AR 19). At step two, the ALJ found that Plaintiff's
24 severe impairments included degenerative disc disease of the
25 lumbosacral spine, asthma, headaches, history of carpal tunnel
26 syndrome, panic disorder, and history of polysubstance abuse. (AR
27 19). The ALJ determined, inter alia, that Plaintiff's bilateral
28 shoulder pain and attention deficit hyperactivity disorder ("ADHD")

1 were non-severe. (AR 22-23). At step three, the ALJ found that
2 Plaintiff's impairments did not meet or equal a listing found in 20
3 C.F.R. Part 404, Subpart P, Appendix 1. (AR 23).
4

5 Before proceeding to step four, the ALJ found that Plaintiff had
6 the residual functional capacity ("RFC") to perform at the "much
7 reduced level of sedentary work" except: she could lift 10 pounds
8 occasionally or frequently; she could sit for up to six hours and
9 stand or walk up to two hours in an eight-hour day; she was precluded
10 from working at heights or around hazards; she could push or pull
11 occasionally; she could sustain fine and gross hand manipulation
12 frequently; she was precluded from exposure to concentrated levels of
13 inhalants, including dust, pollen, and other particulates; and she
14 could sustain complex or detailed work frequently but not constantly.
15 (AR 25-26).
16

17 In making her RFC finding, the ALJ determined that Plaintiff's
18 pain levels were not consistent with objective evidence and clinical
19 findings or with her self-reported daily activities. (AR 28). The
20 ALJ also summarized and assigned weight to the opinions of two
21 medical experts, two consulting examining physicians who had
22 evaluated Plaintiff's physical and psychological symptoms, and
23 Plaintiff's psychologist. (AR 28-30). The ALJ reviewed a Third
24 Party Questionnaire completed by Plaintiff's brother but did not
25 assign it weight or otherwise analyze it. (AR 27).
26

27 At step four, the ALJ determined that Plaintiff could return to
28 her past relevant work as a telephone solicitor and receptionist.

1 (AR 30). The ALJ also determined, alternatively, that Plaintiff
2 could seek work as a PC board touch-up screener, addresser, document
3 preparer - microfilming, or escort vehicle driver. (AR 32).
4 Accordingly, the ALJ determined that Plaintiff was not disabled
5 within the meaning of the Social Security Act. (AR 32).

7 III. STANDARD OF REVIEW

8
9 This court reviews the Administration's decision to determine if
10 the decision is free of legal error and supported by substantial
11 evidence. See Brewes v. Commissioner of Soc. Sec. Admin., 682 F.3d
12 1157, 1161 (9th Cir. 2012). "Substantial evidence" is more than a
13 mere scintilla, but less than a preponderance. Garrison v. Colvin,
14 759 F.3d 995, 1009 (9th Cir. 2014). To determine whether substantial
15 evidence supports a finding, "a court must consider the record as a
16 whole, weighing both evidence that supports and evidence that
17 detracts from the [Commissioner's] conclusion." Aukland v.
18 Massanari, 257 F.3d 1033, 1035 (9th Cir. 2001) (internal quotation
19 omitted). As a result, "[i]f the evidence can support either
20 affirming or reversing the ALJ's conclusion, [a court] may not
21 substitute [its] judgment for that of the ALJ." Robbins v. Soc. Sec.
22 Admin., 466 F.3d 880, 882 (9th Cir. 2006).

23 24 IV. PLAINTIFF'S CONTENTIONS

25
26 Plaintiff contends that the ALJ failed to: (1) make a finding
27 regarding her credibility or provide specific, clear and convincing
28 reasons for finding her not credible; (2) analyze her brother's Third

1 Party Questionnaire; (3) find that her ADHD and bilateral shoulder
2 pain were severe impairments; (4) make an RFC determination that
3 accounted for the combined effects of all of her impairments; and
4 (5) ask the V.E. about a hypothetical individual suffering from all
5 of her impairments. (Joint Stip. at 3, 29, 33, 42-43, 48-49).

7 V. DISCUSSION

8
9 After consideration of the record, the Court finds that
10 Plaintiff's third claim of error is without merit. The ALJ's error,
11 if any, in failing to find that Plaintiff's ADHD and bilateral
12 shoulder pain were "severe impairments" was harmless during step two
13 of the five-step process. However, Plaintiff's fourth claim of error
14 - the ALJ's failure to provide specific and legitimate reasons for
15 rejecting the opinions of certain physicians, which likely affected
16 the formulation of Plaintiff's RFC - warrants remand for further
17 consideration. Since the Court is remanding the matter based on
18 Plaintiff's fourth claim of error, the Court will not address
19 Plaintiff's remaining claims.

20
21 **A. The ALJ's Error, If Any, In Failing To Find That Plaintiff's**
22 **ADHD And Bilateral Shoulder Pain Were "Severe Impairments" Was**
23 **Harmless During Step Two Of The Five-Step Process**

24
25 Plaintiff asserts that the ALJ erred at step two in failing to
26 find that her ADHD and bilateral shoulder pain were severe
27 impairments. (Joint Stip. at 33, 36).

1 At step two, a claimant must make a threshold showing that her
2 medically determinable impairments significantly limit her ability to
3 perform basic work activities. See Bowen v. Yuckert, 482 U.S. 137,
4 145 (1987); 20 C.F.R. §§ 404.1520(c), 416.920(c). "An impairment or
5 combination of impairments can be found 'not severe' only if the
6 evidence establishes a slight abnormality that has 'no more than a
7 minimal effect on an individual's ability to work.'" Smolen v.
8 Chater, 80 F.3d 1273, 1290 (9th Cir. 1996) (quoting Social Security
9 Ruling (SSR) 85-28). "[T]he step two inquiry is a de minimis
10 screening device to dispose of groundless claims." Id. (citing
11 Bowen, 482 U.S. at 153-54).

12
13 The Ninth Circuit has ruled that, when the ALJ has resolved step
14 two in a claimant's favor, any error in designating specific
15 impairments as severe does not prejudice a claimant at step two. See
16 Burch v. Barnhart, 400 F.3d 676, 682 (9th Cir. 2005) (even if ALJ
17 erroneously failed to find an impairment "severe," this error "could
18 only have prejudiced [the claimant] in step three (listing impairment
19 determination) or step five (RFC) because the other steps, including
20 [step two], were resolved in her favor"). Here, the ALJ found that
21 Plaintiff had some severe impairments and resolved step two in her
22 favor. Therefore, any error in failing to find that Plaintiff's
23 alleged ADHD and bilateral shoulder pain were severe is harmless at
24 step two.

1 **B. The ALJ Failed To Make An RFC Determination That Accounted For**
2 **The Combined Effects Of All of Plaintiff's Impairments**
3

4 Plaintiff contends that the ALJ erred in failing to consider the
5 effects of her ADHD and bilateral shoulder pain in determining her
6 RFC. (Joint Stip. at 42). Plaintiff claims that this failure stems
7 from the ALJ's failure to deem her ADHD and shoulder pain "severe"
8 due to an erroneous evaluation of the available medical evidence and
9 opinions. (Joint Stip. at 33-36, 42-44).
10

11 An ALJ must consider the limiting effects of all of a claimant's
12 impairments, even those deemed non-severe, in determining RFC. 20
13 C.F.R. § 416.945(e). Therefore, the ALJ's finding that Plaintiff's
14 ADHD and bilateral shoulder pain were not severe did not necessarily
15 bar their consideration in formulating an RFC.
16

17 An ALJ must take into account all medical opinions of record.
18 20 C.F.R. §§ 404.1527(b), 416.927(b). "Generally, a treating
19 physician's opinion carries more weight than an examining
20 physician's, and an examining physician's opinion carries more weight
21 than a reviewing physician's." Holohan v. Massanari, 246 F.3d 1195,
22 1202 (9th Cir. 2001); see also Lester v. Chater, 81 F.3d 821, 830
23 (9th Cir. 1995). When a treating or examining physician's opinion is
24 not contradicted by another physician, it may be rejected only for
25 "clear and convincing" reasons. Lester, 81 F.3d at 830. When a
26 treating or examining physician's opinion is contradicted by another
27 doctor, it may only be rejected if the ALJ provides "specific and
28 legitimate" reasons supported by substantial evidence in the record.

1 Id. at 830-31; see also Ryan v. Comm'r of Soc. Sec., 528 F.3d 1194,
2 1198 (9th Cir. 2008).

3
4 **1. ADHD**

5
6 During an August 2011 doctor's visit, Plaintiff stated that her
7 psychologist, Dr. Stephan Fleisher, had diagnosed her with ADHD. (AR
8 456). During doctor's visits in September 2011, October 2011, and
9 July 2012, Dr. David McIntosh and other medical providers at
10 Northeast Valley Health Corporation noted that Plaintiff had ADHD.
11 (AR 453, 455, 517).

12
13 During an October 2011 consultative psychiatric evaluation
14 before Dr. Sharmin Jahan, M.D., Dr. Jahan asked about Plaintiff's
15 medical history, assessed her appearance, behavior, cooperation,
16 speech, cognition, mood, affect, perception, thought processes and
17 content, insight, and judgment, (AR 420-22), and opined that
18 Plaintiff's history was "unreliable" and she did not appear to have
19 "significant symptoms" of ADHD or any psychiatric limitations. (AR
20 423).

21
22 In a March 2012 Mental Disorder Questionnaire, Dr. Fleisher
23 stated Plaintiff was "a ninth grade drop out due to ADHD combined
24 type (314.01)." (AR 489). The Questionnaire stated that Plaintiff
25 had been tested for ADHD on May 17, 2011 and had "significant results
26 for inattention, impulsivity, lethargy, underachievement,
27 irritability, and low frustration tolerance." (AR 490). Dr.
28 Fleisher noted that Plaintiff had been prescribed Strattera but had

1 "a bad reaction including crying, fear, disorientation, and fear of
2 losing control." (AR 490).

3
4 In May 2012, Dr. Gary Posner saw Plaintiff for an ADHD
5 evaluation and renewed her Ritalin prescription, (AR 518), although
6 Dr. Posner's treatment note does not discuss the evaluation. In
7 summaries of subsequent visits in June and August 2012, Dr. Posner
8 noted that Plaintiff had ADHD, and he adjusted her Ritalin dosage
9 during that period. (AR 511-12, 513-14, 516-17).

10
11 During the January 14, 2013 hearing, Dr. Griffin testified that
12 the record "indicate[d] or allege[d]" ADHD, but the information about
13 that condition was "quite limited" and was based largely on
14 Plaintiff's self-assessment. (AR 61-62, 68-69). Dr. Griffin stated
15 that, even if Plaintiff had ADHD, it would likely have little effect
16 on her ability to work "given the effectiveness of the medications
17 for this condition." (AR 69). Dr. Griffin also observed that
18 Plaintiff had been prescribed Strattera and had stopped taking it
19 after one week because "it made her feel disconnected." (AR 62).
20 Dr. Griffin concluded that Plaintiff's ADHD was not medically
21 determinable. (AR 62). Dr. Griffin further testified that Plaintiff
22 panic disorder would limit her ability to, inter alia, perform
23 frequent complex and detailed work. (AR 62-63).

24
25 **2. Bilateral shoulder pain**

26
27 In March 2009, Dr. McIntosh referred Plaintiff to physical
28 therapy for right shoulder pain, decreased range of motion, and

1 bilateral carpal tunnel syndrome. (AR 394-95). A May 2009 Therapy
2 Progress Note indicated that Plaintiff was experiencing pain in her
3 left upper trapezius and shoulder. (AR 386). During a May 2011
4 doctor's visit, Plaintiff reported that physical therapy was helping
5 with her shoulder pain. (AR 330). Dr. McIntosh's August 2011 Adult
6 Visit Note indicated that Plaintiff was suffering from severe ("9-
7 10/10") pain in her right shoulder. (AR 456).

8
9 In October 2011, Plaintiff underwent an internal medicine
10 consultation before consultative examiner Dr. Seung Ha Lim. (AR 412-
11 15). Dr. Lim noted Plaintiff's complaints of, inter alia, bilateral
12 carpal tunnel syndrome, (AR 412), but did not mention Plaintiff's
13 shoulder pain. Following examination and testing, Dr. Lim opined
14 that Plaintiff was able to carry fifty pounds occasionally and
15 twenty-five pounds frequently and that her ability to push, pull, and
16 reach overhead was unlimited. (AR 415).

17
18 During a November 2011 consultation with Dr. Insoo Kim,
19 Plaintiff complained of "painful limit of motion of both shoulders,"
20 which she claimed had begun in 1996 but had become worse during the
21 past three years and was worse with movement. (AR 464). Dr. Kim
22 noted that Plaintiff had mild local tenderness and subacromial
23 tenderness, and Plaintiff's impingement test was positive, although
24 her x-rays were unremarkable. (AR 464). Dr. Kim diagnosed Plaintiff
25 with shoulder impingement syndrome in both shoulders. (AR 464).

26
27 During May, June, and August 2012 office visits, Dr. Posner
28 noted that Plaintiff suffered from chronic pain in joints "involving

1 [the] shoulder region." (AR 510, 513, 518). During a November 2012
2 office visit, Dr. Ruth Landsberger similarly noted that Plaintiff had
3 chronic pain in joints "involving [the] shoulder region." (AR 507).
4

5 During the January 14, 2013 hearing, Dr. Maxwell testified that,
6 based on his review of the medical records, Plaintiff's medical
7 impairments included degenerative disc disease of the lumbosacral
8 spine, asthma, chronic headaches, and a history of carpal tunnel
9 syndrome. (AR 58). Dr. Maxwell stated that Plaintiff could lift and
10 carry 10 pounds frequently and occasionally; was able to sit for six
11 hours and stand and walk for two; could not climb ladders, ropes or
12 scaffolds; should avoid unprotected heights and hazardous machinery;
13 was limited to occasional pushing with lower extremities; should
14 avoid concentrated dust, fumes, and odors; and was limited to
15 frequent fine and gross manipulation with the upper extremities. (AR
16 59). The ALJ asked if there was "anything in the record to suggest
17 any further greater limitations," and Dr. Maxwell responded "no."
18 (AR 59).
19

20 **3. The ALJ's Decision**

21

22 In ruling that Plaintiff's shoulder pain and ADHD were non-
23 severe at step two, the ALJ stated:
24

25 [Plaintiff] has complained of bilateral shoulder pain, with
26 limited range of motion, and worse pain with activity or
27 motion. The records from the treating orthopedist indicate
28 her x-rays were normal, she had a minimal limitation in her

1 range of motion, and there was mild tenderness on exam.
2 There is insufficient evidence, therefore, from
3 [Plaintiff's] own treating sources to support her
4 allegations of pain and limited movement in her upper
5 extremities. This alleged impairment therefore is non-
6 severe. [. . .]

7
8 [A]s discussed below, Dr. Griffin, the Medical Expert,
9 testified at [Plaintiff's] January 14, 2013 hearing that
10 her alleged [ADHD] was not a medically determinable
11 impairment. It therefore does not cause more than minimal
12 limitation in [Plaintiff's] ability to perform basic mental
13 work activities and is non-severe.

14
15 In making this finding, the undersigned has considered the
16 four broad functional areas set out in the disability
17 regulations for evaluating mental disorders and in section
18 12.00C of the Listing of Impairments. These four broad
19 functional areas are known as the "paragraph B" criteria.

20
21 The first functional area is activities of daily living.
22 In this area, [Plaintiff] has no limitation. Her alleged
23 limitations in this domain stem from her physical pain
24 complaints.

25
26 The next functional area is social functioning. In this
27 area, [Plaintiff] has no limitation. There has been an
28

1 insufficient offer of proof of limitations in this domain
2 due to the alleged ADHD.

3
4 The third functional area is concentration, persistence or
5 pace. In this area, [Plaintiff] has a mild limitation.
6 She is given the benefit of the doubt in this finding.

7
8 The fourth functional area is episodes of decompensation.
9 In this area, [Plaintiff] has experienced no episodes of
10 decompensation which have been of extended duration. There
11 has been no offer of proof of incidents which rise to the
12 level of an episode of decompensation.

13
14 Because [Plaintiff's] alleged ADHD causes no more than
15 "mild" limitation in any of the first three functional
16 areas and "no" episodes of decompensation which have been
17 of extended duration in the fourth area, it is non-severe.

18
19 The limitations identified in the "paragraph B" criteria
20 are not a[n] [RFC] assessment but are used to rate the
21 severity of mental impairments at steps 2 and 3 of the
22 sequential evaluation process. The mental [RFC] used at
23 steps 4 and 5 . . . requires a more detailed
24 assessment. . . . Therefore, the following [RFC] assessment
25 reflects the degree of limitation the undersigned has found
26 in the "paragraph B" mental function analysis.

27
28 (AR 22) (citations omitted).

1 In evaluating Plaintiff's RFC, the ALJ reviewed the medical
2 evidence and assigned weight to five medical opinions. First, the
3 ALJ summarized Dr. Lim's evaluation and concluded that other opinions
4 should receive more weight because Dr. Lim's evaluation was not based
5 on imaging reports. (AR 29).

6
7 The ALJ gave "great weight" to the opinion of Dr. Maxwell, who
8 testified that Plaintiff's medically determinable impairments
9 included only degenerative disc disease, asthma, headaches, and a
10 history of carpal tunnel syndrome, and that Plaintiff was limited to
11 "less than a full range of sedentary exertion." (AR 29-30). While
12 acknowledging that Dr. Maxwell was a "non-treating, non-examining
13 source," the ALJ noted that Dr. Maxwell had the opportunity to
14 "review the complete exhibit file, including the MRI and other
15 imaging reports," and that Dr. Maxwell's assessment seemed "generous"
16 given Plaintiff's daily activities. (AR 30).

17
18 The ALJ also gave "great weight" to Dr. Jahan's opinion, which
19 noted Plaintiff's alleged "attention and focus" problems but found
20 that Plaintiff had no "psychiatric limitations" or "significant
21 symptoms" of ADHD. (AR 29, 423). The ALJ gave even greater weight
22 to the opinion of Dr. Griffin, who had testified that Plaintiff's
23 ADHD was not a medically determinable impairment, noting that, like
24 Dr. Maxwell's assessment, Dr. Griffin's assessment was based on "the
25 complete medical file, as well as [Plaintiff's] hearing testimony."
26 (AR 30).

1 The only other medical opinion evidence assigned weight by the
2 ALJ was the March 2012 mental health assessment by Dr. Fleisher, who
3 the ALJ noted had been identified as a treating source and a clinical
4 psychologist. (AR 29). The ALJ gave the assessment "minimal
5 consideration," finding that there were no clinical records
6 confirming the treatment relationship between Dr. Fleisher and
7 Plaintiff and no "objective psychological testing" establishing ADHD.
8 (AR 30). The ALJ also stated that no evidence confirmed a diagnosis
9 of major depression or recurrent daily panic attacks, and that "[t]he
10 report appear[ed] to be wholly based on self-reports by [Plaintiff]."
11 (AR 30). The ALJ also observed that the assessment was based in
12 part on complaints of physical pain, which were outside Dr.
13 Fleisher's area of expertise. (AR 30).

14 15 **4. Discussion**

16
17 Plaintiff's claims regarding her bilateral shoulder pain warrant
18 remand. During step two, the ALJ stated that records from
19 Plaintiff's treating orthopedist, Dr. Kim, indicated normal x-rays,
20 minimal limitation in Plaintiff's range of motion, and "mild
21 tenderness" on exam. (AR 22). The ALJ concluded that there was
22 "insufficient evidence . . . from [Plaintiff's] own treating sources
23 to support her allegations of pain and limited movement in her upper
24 extremities," and that her shoulder pain was non-severe. (AR 22).
25 The ALJ's opinion did not explicitly analyze Plaintiff's allegations
26 of shoulder pain at steps four and five, although ALJ mentioned the
27 presence of these allegations in summarizing medical records. (AR
28 27).

1 Given the emphasis placed on the lack of medical evidence
2 substantiating a shoulder impairment, the ALJ's step two finding may
3 have been intended as a finding that Plaintiff's bilateral shoulder
4 pain was not a medically determinable impairment. See SSR 96-4P
5 (1996) (a "symptom" cannot establish impairment unless there are
6 "medical signs and laboratory findings" demonstrating the existence
7 of a medically determinable impairment). However, this appears to
8 discount without meaningful explanation numerous medical records
9 showing Plaintiff's history of treatment for shoulder pain, including
10 Dr. Kim's diagnosis of shoulder impingement syndrome in both
11 shoulders following a physical examination. (AR 21, 464); see also
12 Kohzad v. Astrue, 2009 WL 596609 at *8 (C.D. Cal. Mar. 3, 2009) (ALJ
13 improperly failed to discuss numerous medical records substantiating
14 claimant's condition, but instead "isolated findings in the record in
15 order to support her nondisability determination"); DeArmas v.
16 Colvin, 2013 WL 3776331 at *3-*4 (C.D. Cal. July 16, 2013) (shoulder
17 impingement syndrome is a medically determinable impairment).

18
19 The ALJ may also have implicitly rejected contrary diagnoses or
20 opinions in giving "great weight" to Dr. Maxwell's testimony that
21 there was "nothing in the medical records" to suggest impairments or
22 limitations beyond those that Dr. Maxwell assessed. (AR 30).
23 However, implicit rejection falls short of providing the "specific
24 and legitimate" reasons required for rejecting the opinion of a
25 treating physician, particularly in light of the record evidence of
26 Plaintiff's diagnosis of shoulder impingement syndrome and treatment
27 for shoulder pain. Cf. Lester, 81 F.3d at 830-31 (9th Cir. 1995);
28 Orn v. Astrue, 495 F.3d 625, 632 (9th Cir. 2007); see also Caballero

1 v. Colvin, 2015 WL 1097319 at *2 (C.D. Cal. Mar. 6, 2015) (“[T]he
2 ALJ's conclusion that the limitations imposed . . . were ‘not
3 supported by the objective and clinical evidence of record’ is
4 difficult to reconcile with the various diagnostic reports finding at
5 least some abnormalities in Plaintiff's knees and back.”). Indeed,
6 even the ALJ's reasons for assigning Dr. Maxwell's opinion “great
7 weight” -- i.e., general statements that Dr. Maxwell, a non-treating,
8 non-examining physician, had an opportunity to review the “complete
9 exhibit file” and offered an assessment “consistent with
10 [Plaintiff's] activities of daily living” -- are too brief and
11 conclusory to adequately explain the ALJ's apparent rejection of
12 Plaintiff's shoulder impairments.¹

13
14 Plaintiff's allegations regarding ADHD present a closer
15 question. The ALJ more clearly rejected this diagnosis by
16 (1) observing during the step two analysis that Dr. Griffin testified
17 that Plaintiff's ADHD was not a medically determinable impairment
18 that “therefore does not cause more than minimal limitation in
19 [Plaintiff's] ability to perform basic mental work activities and is
20 non-severe,” (AR 23); and (2) crediting Dr. Griffin's opinion and

21
22 ¹ It is also possible that the RFC's limitations on lifting,
23 pushing, and pulling, (AR 25-26), were intended to account for
24 Plaintiff's shoulder pain. However, the Court is unwilling to affirm
25 on a basis not articulated by the ALJ, particularly given the
26 importance of formulating an appropriate RFC and considering that
27 Plaintiff's degenerative disc disease of the lumbosacral spine and
28 carpal tunnel syndrome might have been the reason for the limitations
on lifting, pushing, and pulling. See Ceguerra v. Sec. Health and
Human Servs., 933 F.2d 735, 738 (9th Cir. 1991); see also McCawley v.
Astrue, 423 F. App'x 687, 689 (9th Cir. 2011) (RFC determination “may
be the most critical finding contributing to the final . . . decision
about disability”).

1 giving Dr. Fleisher's opinion "minimal consideration," in formulating
2 an RFC, because the treatment relationship was not confirmed by
3 medical records and the diagnosis was based on Plaintiff's self-
4 reports rather than objective testing. (AR 30).

5
6 "If a treating provider's opinions are based 'to a large extent'
7 on an applicant's self-reports and not on clinical evidence, and the
8 ALJ finds the applicant not credible, the ALJ may discount the
9 treating provider's opinion. However, when an opinion is not more
10 heavily based on a patient's self-reports than on clinical
11 observations, there is no evidentiary basis for rejecting the
12 opinion." Ghanim v. Colvin, 763 F.3d 1154, 1162 (9th Cir. 2014)
13 (letter and evaluations discussed various providers' observations,
14 diagnoses, and prescriptions, in addition to claimant's self-reports,
15 and ALJ "offered no basis for his conclusion that these opinions were
16 based more heavily on [claimant's] self-reports, and substantial
17 evidence [did] not support such a conclusion.").

18
19 Dr. Fleisher's assessment mentioned that Plaintiff was tested
20 for ADHD on May 17, 2011, with "significant results" on several
21 dimensions, (AR 490), and several other medical records assessed
22 Plaintiff's ADHD and prescribed treatment for it, generally with no
23 indication that the diagnosis was based on Plaintiff's own
24 statements. (See AR 453, 455, 456-57, 511, 514, 516-17, 518). The
25 Court finds these reports difficult to reconcile with the ALJ's
26 apparent finding that Plaintiff's ADHD was not medically determinable
27 or that the finding of ADHD was based on Plaintiff's self reports.
28 See Ghanim, 763 F.3d at 1162. The medical records also reference a

1 treatment relationship between Plaintiff and Dr. Fleisher, (see AR
2 456), and, if additional records were necessary to substantiate Dr.
3 Fleisher's test or the treatment relationship between Dr. Fleisher
4 and Plaintiff, or to substantiate testing or evaluations performed by
5 other physicians, the ALJ could have requested additional testimony
6 or evidence. See Smolen, 80 F.3d at 1288 (ALJ has a "special duty"
7 to fully and fairly develop the record, even where claimant is
8 represented by counsel; if ALJ needed to know the basis for a
9 physician's opinions to evaluate them, he "had a duty to conduct an
10 appropriate inquiry, for example, by subpoenaing the physicians or
11 submitting further questions to them").² Remand is therefore also
12 warranted with respect to Plaintiff's allegations of ADHD.

13
14 \\

15 \\

16
17 ² After discussing Dr. Griffin's assessment during step two, the
18 ALJ briefly analyzed the four functional areas for evaluating mental
19 disorders and found that Plaintiff suffered from no more than mild
20 limitations in any of the first three areas and no extended episodes
21 of decompensation. (AR 23). Additionally, the ALJ limited Plaintiff
22 to frequent, but not constant, complex or detailed work, (AR 26);
23 this limitation may have been designed to fully account for
24 Plaintiff's psychological impairments. (AR 30; but see AR 62-63 (Dr.
25 Griffin recommending such limitations to account for Plaintiff's
26 panic disorder)). Therefore, the ALJ's failure to properly evaluate
27 the medical evidence tending to support Plaintiff's ADHD may have
28 been harmless. However, the extent to which the ALJ's opinion was
affected by an deficient evaluation of the medical evidence is
unclear. Moreover, as noted supra, the Court is unwilling to affirm
on a basis not expressly articulated by the ALJ, see Ceguerra, 933
F.2d at 738, especially given the importance of the RFC determination
in determining disability, see McCawley, 423 F. App'x at 689. In any
event, remand is warranted for other reasons; on remand, the ALJ may
re-evaluate whether the RFC needs to be adjusted to account for
Plaintiff's ADHD after the medical evidence is evaluated
appropriately.

1 **C. Remand Is Warranted**

2
3 The decision whether to remand for further proceedings or order
4 an immediate award of benefits is within the district court's
5 discretion. Harman v. Apfel, 211 F.3d 1172, 1175-78 (9th Cir. 2000).
6 Where no useful purpose would be served by further administrative
7 proceedings, or where the record has been fully developed, it is
8 appropriate to exercise this discretion to direct an immediate award
9 of benefits. Id. at 1179 ("[T]he decision of whether to remand for
10 further proceedings turns upon the likely utility of such
11 proceedings."). However, where the circumstances of the case suggest
12 that further administrative review could remedy the Commissioner's
13 errors, remand is appropriate. McLeod v. Astrue, 640 F.3d 881, 888
14 (9th Cir. 2011); Harman, 211 F.3d at 1179-81.

15
16 Here, the Court remands because the ALJ did not properly
17 consider the limiting effects of Plaintiff's ADHD and bilateral
18 shoulder pain in determining the Plaintiff's RFC.. Because the
19 record does not establish that the ALJ would necessarily be required
20 to find Plaintiff disabled if these deficiencies were remedied,
21 remand is appropriate.

22
23 The Court has not reached issues not discussed supra except to
24 determine that reversal with a directive for the immediate payment of
25 benefits would be inappropriate at this time. In addition to the
26 issues addressed in this order, the ALJ should consider on remand any
27 other issues raised by Plaintiff, if necessary.

1 VI. CONCLUSION

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3 For the foregoing reasons, the decision of the Administrative
4 Law Judge is VACATED, and the matter is REMANDED, without benefits,
5 for further proceedings pursuant to Sentence 4 of 42 U.S.C. § 405(g).
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7 LET JUDGMENT BE ENTERED ACCORDINGLY.
8

9 Dated: July 28, 2016

10 _____/s/_____
11 ALKA SAGAR
12 UNITED STATES MAGISTRATE JUDGE
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