

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28

**UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA**

JAMES N.,¹)	NO. ED CV 18-1199-KS
Plaintiff,)	
v.)	MEMORANDUM OPINION AND ORDER
ANDREW M. SAUL, Commissioner)	
of Social Security,)	
Defendant.)	
_____)	

INTRODUCTION

Plaintiff filed a Complaint on June 4, 2018, seeking review of the denial of his application for Supplemental Security Income (“SSI”) pursuant to Title XVI of the Social Security Act. (Dkt. No. 1.) The parties have consented, pursuant to 28 U.S.C. § 636(c), to proceed before the undersigned United States Magistrate Judge. (Dkt. Nos. 10, 11, 13.) On February 1, 2019, the parties filed a Joint Stipulation. (Dkt. No. 19 (“Joint Stip.”).) Plaintiff seeks an order reversing the Commissioner’s decision with either an award of disability

¹ Partially redacted in compliance with Federal Rule of Civil Procedure 5.2(c)(2)(B) and the recommendation of the Committee on Court Administration and Case Management of the Judicial Conference of the United States.

1 benefits or a remand of the case for further administrative proceedings. (Joint Stip. at 18.) The
2 Commissioner requests that the ALJ’s decision be affirmed or, in the alternative, that the
3 matter be remanded for further administrative proceedings. (*Id.* at 18-19.) The Court has
4 taken the matter under submission without oral argument.
5

6 **SUMMARY OF ADMINISTRATIVE PROCEEDINGS**

7

8 On October 20, 2014, Plaintiff filed an application for SSI. (Administrative Record
9 (“AR”) 15, 143-52.) Plaintiff alleged disability beginning on January 1, 2010 because of
10 depression, schizophrenia, anxiety, panic attacks, and a thyroid condition. (AR 57.)² After
11 the Commissioner denied Plaintiff’s application initially (AR 56) and on reconsideration (AR
12 65), Plaintiff requested a hearing (AR 86-88).
13

14 At a hearing held on January 30, 2017, at which Plaintiff appeared with counsel, an
15 Administrative Law Judge (“ALJ”) heard testimony from Plaintiff and a vocational expert.
16 (AR 31-47.) On May 24, 2017, the ALJ issued an unfavorable decision denying Plaintiff’s
17 application for SSI. (AR 15-25.) On April 12, 2018, the Appeals Council denied Plaintiff’s
18 request for review. (AR 1-6.)
19

20 **SUMMARY OF ADMINISTRATIVE DECISION**

21

22 Applying the five-step sequential evaluation process, the ALJ made the following
23 findings. The ALJ found at step one that Plaintiff had not engaged in substantial gainful
24 activity since his application date of October 20, 2014. (AR 17.) At step two, the ALJ found
25 that Plaintiff had the following severe impairment: schizoaffective disorder. (*Id.*) At step
26

27
28 ² Plaintiff was 46 years old on his application date (AR 24) and thus met the agency’s definition of a
younger person. *See* 20 C.F.R. § 416.963(c).

1 three, the ALJ found that Plaintiff did not have an impairment or combination of impairments
2 that met or medically equaled the severity of any impairments listed in 20 C.F.R. part 404,
3 subpart P, appendix 1 (20 C.F.R. §§ 416.920(d), 416.925, 416.926). (AR 18.) The ALJ then
4 determined that Plaintiff had the residual functional capacity (“RFC”) to perform work “at all
5 exertional levels but with the following nonexertional limitations: he can perform unskilled
6 work; and he can occasionally interact with others.” (AR 19.) At step four, the ALJ found
7 that Plaintiff could perform his past relevant work as a cleaner. (AR 24.) In the alternative,
8 at step five, the ALJ found that Plaintiff could perform other work in the national economy,
9 consisting of the occupations of house cleaner, salvage laborer, and hand packager. (AR 25.)
10 Accordingly, the ALJ concluded that Plaintiff was not disabled within the meaning of the
11 Social Security Act. (*Id.*)

12 13 STANDARD OF REVIEW 14

15 Under 42 U.S.C. § 405(g), this Court reviews the Commissioner’s decision to determine
16 whether it is free from legal error and supported by substantial evidence in the record as a
17 whole. *Orn v. Astrue*, 495 F.3d 625, 630 (9th Cir. 2007). “Substantial evidence is ‘more than
18 a mere scintilla but less than a preponderance; it is such relevant evidence as a reasonable mind
19 might accept as adequate to support a conclusion.’” *Gutierrez v. Comm’r of Soc. Sec.*, 740
20 F.3d 519, 522-23 (9th Cir. 2014) (citations omitted). “Even when the evidence is susceptible
21 to more than one rational interpretation, we must uphold the ALJ’s findings if they are
22 supported by inferences reasonably drawn from the record.” *Molina v. Astrue*, 674 F.3d 1104,
23 1111 (9th Cir. 2012) (citation omitted).

24
25 Although this Court cannot substitute its discretion for the Commissioner’s, the Court
26 nonetheless must review the record as a whole, “weighing both the evidence that supports and
27 the evidence that detracts from the Commissioner’s conclusion.” *Lingenfelter v. Astrue*, 504
28 F.3d 1028, 1035 (9th Cir. 2007) (citation omitted); *Desrosiers v. Sec’y of Health & Human*

1 *Servs.*, 846 F.2d 573, 576 (9th Cir. 1988) (citation omitted). “The ALJ is responsible for
2 determining credibility, resolving conflicts in medical testimony, and for resolving
3 ambiguities.” *Andrews v. Shalala*, 53 F.3d 1035, 1039 (9th Cir. 1995) (citation omitted).

4
5 The Court will uphold the Commissioner’s decision when the evidence is susceptible to
6 more than one rational interpretation. *Burch v. Barnhart*, 400 F.3d 676, 679 (9th Cir. 2005)
7 (citation omitted). However, the Court may review only the reasons stated by the ALJ in his
8 decision “and may not affirm the ALJ on a ground upon which he did not rely.” *Orn*, 495 F.3d
9 at 630 (citing *Connett v. Barnhart*, 340 F.3d 871, 874 (9th Cir. 2003)). The Court will not
10 reverse the Commissioner’s decision if it is based on harmless error, which exists if the error
11 is “‘inconsequential to the ultimate nondisability determination,’ or that, despite the legal error,
12 ‘the agency’s path may reasonably be discerned.’” *Brown-Hunter v. Colvin*, 806 F.3d 487,
13 492 (9th Cir. 2015) (citations omitted).

14 15 DISCUSSION

16
17 The parties raise two issues: (1) whether the ALJ properly considered the treating
18 psychiatrist’s opinion or should have recontacted him for clarification; and (2) whether the
19 ALJ properly developed the record regarding Plaintiff’s mental condition. (Joint Stip. at 2.)

20 21 **I. The ALJ Properly Considered The Treating Psychiatrist’s Opinion (Issue One).**

22
23 In Issue One, Plaintiff claims that the ALJ failed to properly consider the treating
24 psychiatrist’s opinion and should have recontacted the treating psychiatrist for clarification.
25 (Joint Stip. at 3-6.)

26 ///

27 ///

28 ///

1 **A. Legal Standard.**

2
3 There are three categories of physicians: treating physicians, examining physicians, and
4 nonexamining physicians. *Lester v. Chater*, 81 F.3d 821, 830 (9th Cir. 1995). Treating
5 physician opinions should be given more weight than examining or nonexamining physician
6 opinions. *Orn*, 495 F.3d at 632. This is because a treating physician “is employed to cure and
7 has a greater opportunity to know and observe the patient as an individual.” *Magallanes v.*
8 *Bowen*, 881 F.2d 747, 751 (9th Cir. 1989) (citation omitted). If the treating physician’s opinion
9 is not contradicted by another doctor, it may be rejected only if the ALJ provides “clear and
10 convincing reasons supported by substantial evidence in the record.” *Orn*, 495 F.3d at 632. If
11 the treating physician’s opinion is contradicted by another doctor, it may be rejected only by
12 “specific and legitimate reasons supported by substantial evidence in the record.” *Id.*

13
14 Here, the treating psychiatrist’s opinion was contradicted by the opinions of two state
15 agency psychiatrists. (AR 52, 60.) Thus, the ALJ could not reject the treating psychiatrist’s
16 opinion without stating specific and legitimate reasons supported by substantial evidence in
17 the record.

18
19 **B. Background.**

20
21 Plaintiff’s treating psychiatrist was Dr. Kari Enge. (AR 285.) Dr. Enge diagnosed
22 Plaintiff with a schizoaffective disorder, depressive type. (AR 305.) Plaintiff visited Dr. Enge
23 approximately every three months and was prescribed Risperidone. (AR 38, 285, 297, 313.)
24 During his visits with Dr. Enge, Plaintiff stated that he was doing “pretty good,” “ok,” “fine,”
25 or “not bad.” (AR 286-90, 296, 314, 317, 319-21.) Dr. Enge reported that Plaintiff’s psychosis
26 was under control with treatment. (AR 287-90, 314, 316, 318-21.)

27 ///

28 ///

1 In May 2016, Dr. Enge completed a “Medical Opinion Re: Ability to Do Work Related
2 Activities (Mental).” (AR 302-03.) Dr. Enge wrote that Plaintiff would have “no useful ability
3 to function” or would be “unable to meet competitive standards” in several areas of mental
4 functioning. (*Id.*) Plaintiff would have “no useful ability to function” in five areas: ability to
5 maintain attention for a two-hour segment, ability to complete a normal workday and
6 workweek without interruptions from psychologically based symptoms, ability to get along
7 with co-workers or peers without unduly distracting them or exhibiting behavioral extremes,
8 ability to carry out detailed instructions, and ability to travel in unfamiliar places. (*Id.*)
9 Plaintiff would be “unable to meet competitive standards” in nine other areas: ability to
10 maintain regular attendance and be punctual within customary, usually strict tolerances; ability
11 to sustain an ordinary routine without special supervision; ability to accept instructions and
12 respond appropriately to criticism from supervisors; ability to deal with normal work stress;
13 ability to understand and remember detailed instructions; ability to set realistic goals or make
14 plans independently of others; ability to deal with stress of semiskilled and skilled work; ability
15 to interact appropriately with the general public; and ability to maintain socially appropriate
16 behavior. (*Id.*)

17
18 At the end of the opinion, Dr. Enge wrote that Plaintiff “has schizophrenia and becomes
19 very uncomfortable around groups of people. This impairs his attention. Also gets distracted
20 by voices.” (AR 303.) Dr. Enge further wrote that Plaintiff “has been fired from 3 or 4 jobs
21 in the past because of limitations from mental illness” and that “he would probably show up
22 for work” but would be “unable to perform the job.” (*Id.*) The ALJ gave “little weight” to Dr.
23 Enge’s opinion with the following explanation:

24
25 I give little weight to this opinion because it is brief, conclusory, and inadequately
26 supported by the objective findings. The psychiatrist did not provide an
27 explanation for this assessment. He primarily summarized in the treatment notes
28 [Plaintiff’s] subjective complaints, diagnoses, and treatment, [and] failed to

1 provide medically acceptable clinical findings to support the functional
2 assessment. This opinion is inconsistent with the objective medical evidence as
3 a whole already discussed in this decision, which shows [Plaintiff] received only
4 routine and conservative treatment. It is also inconsistent with [Plaintiff's]
5 admitted activities of daily living.

6
7 (AR 22-23.)

8
9 **C. Analysis.**

10
11 **1. Brief, conclusory, and inadequately supported.**

12
13 The ALJ's first reason to give little weight to Dr. Enge's opinion was that it was "brief,
14 conclusory, and inadequately supported by the objective findings," and that Dr. Enge failed to
15 provide "an explanation for this assessment." (AR 23.) The ALJ further elaborated that Dr.
16 Enge "primarily summarized in the treatment notes [Plaintiff's] subjective complaints,
17 diagnoses, and treatment, [and] failed to provide acceptable clinical findings to support the
18 functional assessment." (AR 23.)

19
20 The Court's review of the record on the whole reveals substantial evidence to support
21 the ALJ's reasoning. Dr. Enge's opinion was brief, conclusory, and inadequately supported
22 by objective findings, which reflect that Plaintiff's psychosis was under adequate control with
23 treatment. (AR 287-90, 314, 316, 318-21.) Dr. Enge's treatment notes also reflected that
24 Plaintiff made subjective statements that he was doing "pretty good," "ok," "fine," or "not
25 bad." (AR 286-90, 296, 314, 317, 319-21.) Dr. Enge's clinical findings did not substantially
26 support her opinion that Plaintiff had no useful ability to function or was unable to meet
27 competitive standards in 14 areas of mental functioning. Thus, this was a specific and
28 legitimate reason supported by substantial evidence for the ALJ to give little weight to the

1 treating psychiatrist's opinion. *See, e.g., Tonapetyan v. Halter*, 242 F.3d 1144, 1149 (9th Cir.
2 2001) (“[A]n ALJ need not accept a treating physician’s opinion that is conclusory and brief
3 and unsupported by clinical findings.”) (citing *Matney v. Sullivan*, 981 F.2d 1016, 1019 (9th
4 Cir. 1992)).

5
6 Plaintiff disputes this reason by pointing to evidence of objective findings from 2015
7 and 2016. (Joint Stip. at 4.) As Plaintiff points out, medical notes from that time showed that
8 he suffered from symptoms such as auditory hallucinations, anxious mood, anxious affect,
9 difficulty with cognition and attention, average memory, flat affect, paranoia, ongoing auditory
10 hallucinations, and blunted affect. (*Id.* [citing AR 309, 315-16].) But this evidence does not
11 render the ALJ’s finding erroneous or unsupported by substantial evidence. The same
12 evidence cited by Plaintiff also showed that he needed medication support services (AR 309),
13 that he had no complaints (AR 315), that he was “maintaining outpatient functioning in family
14 setting” (*id.*), that he was directed to follow-up in three months (*id.*), that his psychosis was
15 “under adequate control” (AR 316), and that he was “stable at baseline” (*id.*). Likewise, other
16 evidence from the same period, 2015 and 2016, showed that Plaintiff had no increase in
17 symptoms (AR 315), had no new problems or concerns (AR 316-17), and was stable with
18 ongoing treatment (AR 318-19, 321). Given this evidence, the ALJ reasonably found that Dr.
19 Enge’s opinion was too extreme given the clinical findings. *See Edlund v. Massanari*, 253
20 F.3d 1152, 1156 (9th Cir. 2001) (“If evidence is susceptible to more than one rational
21 interpretation, the court may not substitute its judgment for that of the Commissioner.”)
22 (citations omitted).

23
24 Plaintiff further contends that the ALJ should have recontacted Dr. Enge for clarification
25 before rejecting her opinion as unsupported by clinical findings. (Joint Stip. at 4-5.) An ALJ’s
26 duty to seek additional information from a treating physician is triggered “only when the
27 evidence from the treating medical source is inadequate to make a determination as to the
28 claimant’s disability.” *See Thomas v. Barnhart*, 278 F.3d 947, 958 (9th Cir. 2002). Here, the

1 ALJ did not make a finding that Dr. Enge’s opinion was inadequate to make a determination
2 regarding Plaintiff’s disability claim. Indeed, “[t]here was nothing unclear or ambiguous about
3 what [Dr. Enge] said.” *See McLeod v. Astrue*, 640 F.3d 881, 884 (9th Cir. 2011). Rather, the
4 ALJ found that Dr. Enge’s opinion was unsupported by clinical findings, which is not the same
5 as characterizing it as unclear, ambiguous, or inadequate to make a disability determination.
6 *See Bayliss v. Barnhart*, 427 F.3d 1211, 1217 (9th Cir. 2005) (finding that a treating
7 physician’s opinion that the ALJ rejected because it was contradicted by clinical notes was not
8 the same as an “ambiguous” or “insufficient” opinion that required the ALJ to recontact the
9 treating psychologist); *see also Thomas*, 278 F.3d at 958 (recognizing that a “contradictory”
10 opinion by a treating physician is not the same as an “inadequate” one). Thus, the ALJ was
11 not required to recontact Dr. Enge for clarification.

12
13 Finally, Plaintiff contends that, contrary to the ALJ’s finding that Dr. Enge “did not
14 provide an explanation” for her opinion, Dr. Enge did in fact provide such an explanation.
15 (Joint Stip. at 5.) As Plaintiff points out, Dr. Enge stated multiple times that Plaintiff was
16 incapable of competitive employment, both in her opinion itself and in her treatment notes. In
17 her opinion, Dr. Enge wrote that Plaintiff “has schizophrenia and becomes very uncomfortable
18 around groups of people. This impairs his attention. Also gets distracted by voices.” (AR
19 303.) Dr. Enge further wrote in her opinion that Plaintiff “has been fired from 3 or 4 jobs in
20 the past because of limitations from mental illness” and that “he would probably show up for
21 work” but would be “unable to perform the job.” (*Id.*) And in her treatment notes, Dr. Enge
22 wrote that Plaintiff “functions in a home setting, but in a work environment his psychotic
23 symptoms . . . would quickly worsen, his concentration would suffer, and he would be likely
24 to become agitated and irritable.” (AR 318.) Similarly, Dr. Enge wrote elsewhere in her
25 treatment notes that Plaintiff “would not be able to maintain employment without
26 decompensating” (AR 295) and “would not be able to hold a job” (AR 314).

27 ///

28 ///

1 A treating physician's opinion on the ultimate issue of whether a claimant can work is
2 competent evidence that an ALJ must consider. *See Reddick v. Chater*, 157 F.3d 715, 725 (9th
3 Cir. 1998); Social Security Ruling ("SSR") 96-5P, 1996 WL 374183, at *5 ("Such opinions
4 on these issues must not be disregarded."). Here, however, the ALJ did consider Dr. Enge's
5 conclusion that Plaintiff was incapable of competitive employment but gave that conclusion
6 little weight because it was inadequately explained. As noted, Dr. Enge's treatment notes
7 contained substantial evidence that, with treatment, Plaintiff was doing well and his mental
8 symptoms were adequately controlled. Dr. Enge's rationale that this positive outcome would
9 change if Plaintiff tried to work was reasonably rejected as unsupported conjecture. "A
10 treating physician's evaluation of a patient's ability to work may be a useful or suggestive of
11 useful information, but a treating physician ordinarily does not consult a vocational expert or
12 have the expertise of one." *McLeod*, 640 F.3d at 884. "The relationship between impairment
13 and disability remains both complex and difficult, if not impossible, to predict . . . The same
14 level of injury is in no way predictive of an affected individual's ability to participate in major
15 life functions (including work)." *Id.* (citation and internal quotation marks omitted). Dr.
16 Enge's prediction that Plaintiff would be unable to maintain competitive employment was not
17 substantially supported by the objective clinical findings. Thus, the ALJ properly rejected Dr.
18 Enge's opinion about Plaintiff's ability to work as inadequately explained.

20 **2. Routine and conservative treatment.**

21
22 The ALJ's second reason to give little weight to Dr. Enge's opinion was that it was
23 "inconsistent with the objective medical evidence as a whole already discussed in this decision,
24 which shows [Plaintiff] received only routine and conservative treatment." (AR 22-23.) As
25 noted, Plaintiff's treatment consisted primarily of Risperidone (or Risperdal), an antipsychotic
26 medication used to treat schizoaffective disorders. (AR 38, 285, 297, 313.) However, the
27 Court concurs with other district courts that have found antipsychotic medications such as
28 Risperidone do not qualify as routine or conservative treatment. *See Faber v. Berryhill*, 2017

1 WL 6761936, at *10 (S.D. Cal. Dec. 29, 2017); *Carden v. Colvin*, 2014 WL 839111, at *3
2 (C.D. Cal. Mar. 4, 2014); *see also* *Gidley v. Colvin*, 2013 WL 6909170, at *9 (N.D. Ind. Dec.
3 30, 2013) (“It is not clear that [the ALJ] would have reached the same conclusion that [the
4 claimant] had conservative treatment if he considered all of [the claimant’s] medications”
5 including Risperdal). Although the record does show that Plaintiff was able to control his
6 symptoms with Risperidone, such treatment does not qualify as conservative. Thus, this was
7 not a specific and legitimate reason to reject Dr. Enge’s opinion.

8 9 **3. Activities of daily living.**

10
11 The ALJ’s final reason to give little weight to Dr. Enge’s opinion was that it was
12 inconsistent with Plaintiff’s “admitted activities of daily living.” (AR 23.) Elsewhere in the
13 opinion, the ALJ repeatedly noted that Plaintiff’s admitted activities of daily living included
14 going for walks, preparing meals, performing household chores, driving, shopping in stores,
15 running errands, managing his own finances, selling goods on eBay, and watching television.
16 (AR 18, 20, 21; *see also* AR 39-41, 178-79, 239-40.)

17
18 An ALJ may discount a treating physician’s opinion that is inconsistent with evidence
19 of the claimant’s daily activities. *See Rollins v. Massanari*, 261 F.3d 853, 856 (9th Cir. 2001)
20 (finding the treating physician’s opinion “inconsistent with the level of activity that [the
21 claimant] engaged in by maintaining a household and raising two young children, with no
22 significant assistance from her ex husband”). Here, Dr. Enge’s opinion that Plaintiff had “no
23 useful ability to function” in areas such as maintaining attention for a two hour segment,
24 carrying out detailed instructions, or traveling in unfamiliar places (AR 302-03) was
25 inconsistent with Plaintiff’s statements that he can perform household chores, shop in stores,
26 run errands, manage his own finances, and sell goods on eBay (AR 39-41, 178-79, 239-40).
27 Thus, this was a specific and legitimate reason based on substantial evidence to give little
28 weight to the treating psychiatrist’s opinion.

1 Plaintiff disputes this reason by arguing that the ALJ failed “to provide an accurate
2 picture of how limited these [activities] are” because, for example, Plaintiff needed reminders
3 to perform chores. (Joint Stip. at 5.) But even if Plaintiff’s characterization of his daily
4 activities were correct, it would not invalidate the ALJ’s reasoning. Plaintiff’s ability to
5 perform such activities, even on a limited basis, would show that he had at least a “useful
6 ability to function” in areas such as maintaining attention for two hours, carrying out detailed
7 instructions, and traveling in unfamiliar places, which was inconsistent with Dr. Enge’s
8 opinion that he had “no useful ability to function” in those areas (AR 302-03). Thus, evidence
9 of Plaintiff’s daily activities, even on a limited basis, was a specific and legitimate ground to
10 give little weight to Dr. Enge’s highly restrictive opinion. *See Rollins*, 261 F.3d at 856.

11 12 **D. Conclusion.**

13
14 The ALJ’s characterization of Plaintiff’s treatment with Risperidone as routine and
15 conservative did not provide a specific and legitimate reason to reject the treating psychiatrist’s
16 opinion. However, the error was harmless because the ALJ otherwise stated two specific and
17 legitimate reasons, based on lack of clinical support and evidence of Plaintiff’s daily activities.
18 *See Molina v. Astrue*, 674 F.3d 1104, 1115 (9th Cir. 2012) (“[W]e have adhered to the general
19 principle that an ALJ’s error is harmless where it is inconsequential to the ultimate
20 nondisability determination”) (citation and internal quotation marks omitted). Thus, Issue One
21 does not warrant reversal.

22 23 **II. The ALJ Did Not Err By Failing To Develop The Record (Issue Two).**

24
25 In Issue Two, Plaintiff claims that the ALJ erred by failing to develop the record about
26 Plaintiff’s mental condition, which was relevant to the issues of Plaintiff’s RFC and subjective
27 symptom testimony. (Joint Stip. at 10-14.)

28 ///

1 **A. Legal Standard.**

2
3 It is well-established that the ALJ has a special duty to fully and fairly develop the record
4 to assure that the claimant’s interests are considered, and that this special duty exists even
5 when the claimant is represented by counsel. *See Brown v. Heckler*, 713 F.2d 441, 443 (9th
6 Cir. 1983); *see also Garcia v. Commissioner of Social Sec.*, 768 F.3d 925, 930 (9th Cir. 2014).
7 “An ALJ’s duty to develop the record further is triggered . . . when there is ambiguous evidence
8 or when the record is inadequate to allow for proper evaluation of the evidence.” *See Mayes*
9 *v. Massanari*, 276 F.3d 453, 459-60 (9th Cir. 2001).

10
11 **B. Analysis.**

12
13 The ALJ determined, as noted above, that Plaintiff had an RFC to perform work “at all
14 exertional levels but with the following nonexertional limitations: he can perform unskilled
15 work; and he can occasionally interact with others.” (AR 19.) The ALJ also rejected Plaintiff’s
16 subjective symptom allegations, particularly because of the nature of his mental health
17 treatment. (AR 21-22.) Plaintiff contends that these findings were erroneous because the ALJ
18 failed to develop the record.

19
20 Plaintiff contends that the ALJ impermissibly “played doctor” and should have
21 developed the record by consulting a mental health professional, such as an examining
22 physician or a medical expert, who could have given an expert opinion about Plaintiff’s mental
23 limitations. (Joint Stip. at 11, 14.) But the record did contain expert opinions by mental health
24 professionals. Two state agency psychiatrists found that Plaintiff did not have a severe mental
25 impairment with more than a minimal effect on his capacity to do basic work activity. (AR
26 52, 60.) The ALJ found the state agency psychiatrists’ opinions to be insufficiently restrictive
27 (AR 23) and thus found that Plaintiff had a severe mental impairment that warranted
28 nonexertional limitations consisting of a limitation to unskilled work with occasional

1 interaction with others (AR 19). It is inaccurate to say under these circumstances that no
2 mental health professional provided a basis for the ALJ's RFC determination or that the ALJ
3 made such a determination out of whole cloth.
4

5 To be sure, no mental health professional gave an opinion that was *identical* to the ALJ's
6 mental RFC determination here, for unskilled work and occasional interaction with others.
7 (AR 19.) But this did not mean that the ALJ was required to obtain evidence from the medical
8 sources Plaintiff suggests, such as an examining physician or a medical expert, to support the
9 RFC determination. (Joint Stip. at 14.) An RFC is an "administrative finding," and the final
10 responsibility for determining an individual's RFC is reserved to the Commissioner. *See* SSR
11 96-5p, 1996 WL 374183, at *5 ("[A] medical source statement must not be equated with an
12 administrative finding known as the RFC assessment."); *Lynch Guzman v. Astrue*, 365 F.
13 App'x 869, 870 (9th Cir. 2010) ("Residual functional capacity is an administrative finding
14 reserved to the Commissioner."). Plaintiff has not cited any binding legal authority for the
15 proposition that an ALJ's RFC determination must be identical to an opinion by a medical
16 professional, particularly where, as here, the record contains medical opinions stating that a
17 claimant is more capable than the ALJ's RFC determination reflects. *Cf. Mokbel-Aljahmi v.*
18 *Commissioner of Social Security*, 732 F. App'x 395, 401 (6th Cir. 2018) ("We have previously
19 rejected the argument that a residual functional capacity determination cannot be supported by
20 substantial evidence unless a physician offers an opinion consistent with that of the ALJ.")
21 (citations omitted); *Winn v. Commissioner, Social Security Administration*, 894 F.3d 982, 987
22 (8th Cir. 2018) ("The ALJ was not required to accept any physician's opinion regarding this
23 element of Winn's RFC. Even though the RFC assessment draws from medical sources for
24 support, it is ultimately an administrative determination reserved to the Commissioner.")
25 (citation and internal quotation marks omitted). The ALJ evaluated in sufficient detail all the
26 probative medical evidence in the record before determining Plaintiff's mental limitations.
27 Thus, the ALJ did not fail to develop the record in this regard.

28 ///

1 Plaintiff similarly contends that the ALJ lacked the qualifications of a medical expert to
2 assess Plaintiff's testimony about his mental health treatment. (Joint Stip. at 13.) The ALJ
3 discounted Plaintiff's testimony in part because his mental health treatment, which consisted
4 of therapy sessions every three months and Risperidone (AR 38), was not "the type of medical
5 treatment one would expect" and Plaintiff failed to "offer a sufficient explanation" for not
6 seeking more aggressive treatment (AR 22). It is unnecessary, however, to resolve the
7 question of whether the ALJ was qualified to assess the appropriateness of Plaintiff's treatment
8 because the outcome would not change even if the ALJ was not qualified. Regardless of the
9 ALJ's qualifications, the Court disagrees, as discussed above, that antipsychotic medications
10 such as Risperidone qualify as conservative treatment. Thus, such a rationale would not be a
11 clear and convincing reason to reject Plaintiff's testimony. But the ALJ stated other,
12 independent reasons to discount Plaintiff's testimony (AR 21-22), and Plaintiff does not
13 attempt to dispute them. Specifically, the ALJ discounted Plaintiff's testimony because "with
14 treatment, [he] was noted to be stable," and because Plaintiff's "activities of daily living [were]
15 inconsistent with [his] statements concerning the alleged intensity, persistence, and limiting
16 effects of symptoms." (AR 21.) These were clear and convincing reasons to reject Plaintiff's
17 subjective symptom allegations. *See Warre v. Comm'r of Soc. Sec. Admin.*, 439 F.3d 1001,
18 1006 (9th Cir. 2006) (impairments that can be controlled effectively with medications are not
19 disabling); *Valentine v. Commissioner Social Sec. Admin.*, 574 F.3d 685, 693 (9th Cir. 2009)
20 ("The ALJ recognized that this evidence [of daily activities] did not suggest Valentine could
21 return to his old job . . . , but she thought it did suggest that Valentine's later claims about the
22 severity of his limitations were exaggerated.").

23
24 In sum, any error by the ALJ in characterizing Plaintiff's mental health treatment as
25 conservative was inconsequential to the ALJ's other reasons to discount Plaintiff's testimony.
26 *See Carmickle v. Commissioner, Social Sec. Admin.*, 533 F.3d 1155, 1163 (9th Cir. 2008)
27 (holding that invalid reasons to reject a claimant's testimony will be harmless error if the ALJ
28 otherwise stated valid reasons). Moreover, because the ALJ stated valid reasons not to credit

1 Plaintiff's testimony, the ALJ was not required to incorporate Plaintiff's testimony into the
2 RFC determination. *See Bayliss*, 427 F.3d at 1217 (where an ALJ properly rejected a
3 claimant's testimony, the RFC determination need not depend on the claimant's subjective
4 complaints). Thus, this issue does not warrant reversal.

5
6 **CONCLUSION**

7
8 For the reasons stated above, the Court finds that the Commissioner's decision is
9 supported by substantial evidence and free from material legal error. Neither reversal of the
10 ALJ's decision nor remand is warranted.

11
12 Accordingly, IT IS ORDERED that Judgment shall be entered affirming the decision of
13 the Commissioner of the Social Security Administration.

14
15 IT IS FURTHER ORDERED that the Clerk of the Court shall serve copies of this
16 Memorandum Opinion and Order and the Judgment on counsel for Plaintiff and for Defendant.

17
18 LET JUDGMENT BE ENTERED ACCORDINGLY.

19
20 DATE: July 31, 2019



21
22

KAREN L. STEVENSON
23 UNITED STATES MAGISTRATE JUDGE
24
25
26
27
28