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UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA  
San Francisco Division

DANIEL W. RIVADA,

Plaintiff,

v.

NANCY A. BERRYHILL,

Defendant.

Case No. 17-cv-06895-LB

**ORDER GRANTING PLAINTIFF'S  
MOTION FOR SUMMARY  
JUDGMENT AND DENYING  
DEFENDANT'S CROSS-MOTION FOR  
SUMMARY JUDGMENT**

Re: ECF Nos. 14, 21

**INTRODUCTION**

Plaintiff Daniel Rivada seeks judicial review of a final decision by the Commissioner of the Social Security Administration denying his claim for Supplemental Security Income (“SSI”) benefits under Title XVI of the Social Security Act.<sup>1</sup> Mr. Rivada moved for summary judgment, and the Commissioner opposed the motion and filed a cross-motion for summary judgment.<sup>2</sup> All parties consented to magistrate-judge jurisdiction.<sup>3</sup> Under Civil Local Rule 16–5, the matter is submitted for decision by this court without oral argument. The court grants Mr. Rivada’s motion

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<sup>1</sup> Compl. – ECF No. 1 at 1; Administrative Record (“AR”) at 10. Record citations refer to material in the Electronic Case File (“ECF”); pinpoint citations are to the ECF-generated page numbers at the top of documents.

<sup>2</sup> Motion – ECF No. 14; Cross-Mot. – ECF No. 21.

<sup>3</sup> Consent Forms – ECF Nos. 10, 11.

1 for summary judgment, denies the Commissioner’s cross- motion for summary judgment, and  
2 remands for further proceedings.

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4 **STATEMENT**

5 **1. Procedural History**

6 On February 26, 2014, Mr. Rivada, then age 42, filed a claim for supplemental security  
7 income (“SSI”) disability benefits under Title XVI of the Social Security Act, alleging severe  
8 anxiety, claustrophobia, and severe panic attacks.<sup>4</sup> He alleged an onset date of September 1,  
9 2013.<sup>5</sup> The Commissioner denied the application initially on June 10, 2014, and on  
10 reconsideration on September 4, 2014.<sup>6</sup>

11 On October 30, 2014, Mr. Rivada requested a hearing.<sup>7</sup> On June 22, 2016, Administrative Law  
12 Judge David R. Mazzi (the “ALJ”) held a hearing in Oakland, California.<sup>8</sup> Attorney Heather  
13 Freinkel represented Mr. Rivada.<sup>9</sup> Mr. Rivada and Christopher Salvo, a Vocational Expert (“VE”),  
14 testified in person.<sup>10</sup> On October 24, 2016, the ALJ issued an unfavorable decision.<sup>11</sup> Mr. Rivada  
15 appealed the decision to the Appeals Council.<sup>12</sup> The Appeal Council denied the request on October  
16 2, 2017.<sup>13</sup> Mr. Rivada timely filed this action on December 1, 2017<sup>14</sup> and moved for summary  
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20 <sup>4</sup> See AR 47.

21 <sup>5</sup> Id.

22 <sup>6</sup> AR 49–72; 78–83.

23 <sup>7</sup> See AR 84–87.

24 <sup>8</sup> See AR 33.

25 <sup>9</sup> See AR 33–34.

26 <sup>10</sup> AR 33.

27 <sup>11</sup> AR 17.

28 <sup>12</sup> AR 88.

<sup>13</sup> AR 1.

<sup>14</sup> Compl. – ECF No.1.

1 judgment.<sup>15</sup> The Commissioner opposed the motion and filed a cross-motion for summary  
2 judgment.<sup>16</sup>

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4 **2. Summary of the Administrative Record and Administrative Findings**

5 **2.1 Medical Records**

6 **2.1.1 California Department of Corrections and Rehabilitation<sup>17</sup>**

7 **2.1.1.1 Neil Hirsch M.D. — Treating**

8 Dr. Hirsch saw Mr. Rivada multiple times from November 2015 through March 2016 while  
9 Mr. Rivada was incarcerated.<sup>18</sup> Mr. Rivada’s intake records indicate that he sustained a wrist  
10 fracture due to a roofing accident.<sup>19</sup> The resulting surgery inserted eight screws and a metal plate  
11 in the right wrist.<sup>20</sup> Mr. Rivada is left-handed.<sup>21</sup>

12 On November 19, 2015, Dr. Hirsch noted that Mr. Rivada had “a scar secondary to his fusion  
13 surgery” on his right hand and that “[h]e ha[d] excellent grip and normal sensation and  
14 circulation.”<sup>22</sup> Dr. Hirsch also wrote: “Status post fusion of the carpal bones of the right hand.  
15 That is distant. We are also ordering for completeness . . . an x-ray of the right hand.”<sup>23</sup>

16 In December 2015, Dr. Hirsch saw Mr. Rivada for blood-pressure monitoring and reviewed x-  
17 rays of Mr. Rivada’s right wrist.<sup>24</sup> He wrote: “Right hand x-ray shows a small old avulsion injury  
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19 <sup>15</sup> Mot. – ECF No. 14.

20 <sup>16</sup> Cross-Mot. for Summary Judgment – ECF No. 21.

21 <sup>17</sup> Mr. Rivada stated that he was incarcerated from approximately August 2014 through June 2016. He  
22 was incarcerated at Alameda County Jail, Shasta County Jail, and Deuel Vocational Institution in  
23 Tracy, CA before being transferred to California Correctional Institute in October 2015. He received  
24 ongoing health treatment while incarcerated. AR 277–78.

25 <sup>18</sup> AR 459–67.

26 <sup>19</sup> AR 586.

27 <sup>20</sup> Id., see, e.g., AR 42.

28 <sup>21</sup> AR 586.

<sup>22</sup> AR 467.

<sup>23</sup> Id.

<sup>24</sup> AR 462.

1 along the second metacarpal. There is a dorsal carpal fusion. There are mild degenerative changes  
2 and mild soft tissue swelling.”<sup>25</sup> Mr. Rivada refused a follow-up appointment that was to take  
3 place on February 3, 2016.<sup>26</sup>

4 In March 2016, Dr. Hirsch saw Mr. Rivada a final time.<sup>27</sup> He noted Mr. Rivada’s dyslipidemia  
5 and hypertension.<sup>28</sup> He noted that the dyslipidemia was improving and that Mr. Rivada would  
6 continue his medications.<sup>29</sup> Dr. Hirsch also noted that Mr. Rivada “refused any further  
7 monitoring” for hypertension and did not want any medications for hypertension.<sup>30</sup> Dr. Hirsch  
8 assigned a TABE score of 8.8 and reported Mr. Rivada had effective communication.<sup>31</sup>

9 **2.1.1.2 Mental-Health Care**

10 Mr. Rivada received mental-health care from providers while he was incarcerated. Mr. Rivada  
11 underwent an initial mental-health screening on June 2, 2015.<sup>32</sup> The clinician found, as one of the  
12 potential adjustment issues, that there were indications of “a major depression” and that Mr.  
13 Rivada suffered from a mental illness.<sup>33</sup> The clinician assigned a TABE score of no more than 4.0  
14 which required him to refer Mr. Rivada to a mental-health professional.<sup>34</sup>

15 On June 2, 2015, in an initial health screening performed at Deuel Vocational Institution  
16 (DVI) after Mr. Rivada was transferred from Shasta County Jail, he presented with

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<sup>25</sup> Id.

20 <sup>26</sup> AR 459.

21 <sup>27</sup> Id.

22 <sup>28</sup> Id.

23 <sup>29</sup> Id.

24 <sup>30</sup> Id.

25 <sup>31</sup> Id. TABE scores “reflect an inmate’s educational achievement level and are expressed in numbers  
reflecting grade level.” *Marcelo v. Hartley*, No. CV 06-3705 CAS (SS), 2008 WL 4057003, \*4 n.7  
(C.D. Cal. Aug. 27, 2008). Subsequently, three doctors reported Mr. Rivada’s TABE score as 6.3 and  
on one occasion Dr. Hirsch reported it as 8.8 (See AR 465, 556).

26 <sup>32</sup> AR 565.

27 <sup>33</sup> Id.

28 <sup>34</sup> Id.

1 hyperlipidemia, dysthymia, a sleep disorder, and anxiety.<sup>35</sup> Mr. Rivada reported “hearing voices or  
2 seeing things that [were] not there.”<sup>36</sup> K Reynolds, a registered nurse (“RN”), recommended a  
3 referral to a mental-health professional.<sup>37</sup>

4 On June 15, 2015, Mr. Rivada saw Dr. Paula Williams, for a suicide-risk evaluation.<sup>38</sup> Dr.  
5 Williams opined that Mr. Rivada was not suicidal.<sup>39</sup> Dr. Williams assigned a Global Assessment  
6 of Functioning (“GAF”) score of 60<sup>40</sup> and determined that Mr. Rivada met the criteria for  
7 inclusion in the Mental Health Services Delivery System (“MHSDS”) based on “medical  
8 necessity.”<sup>41</sup>

9 In August 2015, Z. Mora, PhD. also determined that Mr. Rivada met the criteria for inclusion  
10 in the MHSDS and assigned a GAF score of 62.<sup>42</sup>

11 In October 2015, Mr. Rivada had an initial health screening at the California Correctional  
12 Institute after he transferred there from DVI.<sup>43</sup> He reported having a “mental health illness” and  
13 being treated for depression in March 2015.<sup>44</sup>

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17 <sup>35</sup> AR 518.

18 <sup>36</sup> AR 519.

19 <sup>37</sup> Id.

20 <sup>38</sup> AR 585–90.

21 <sup>39</sup> AR 590.

22 <sup>40</sup> “According to the American Psychiatric Association’s Diagnostic and Statistical Manual of Mental  
23 Disorders, Fourth Edition (“DSM–IV”), a GAF of 51–60 indicates moderate symptoms (e.g., flat  
24 affect and circumstantial speech, occasional panic attacks) or moderate difficulty in social,  
25 occupational, or school functioning (e.g., few friends, conflicts with peers or co-workers. See Am.  
26 Psychiatric Ass’n, Diagnostic and Statistical Manual of Mental Disorders 34 (4th ed. text rev. 2000).  
27 GAF scores of 61 to 70 indicate some mild symptoms or some difficulty in social, occupational, or  
28 school functioning, but the patient is generally functioning pretty well. Id.” Turner v. Commissioner of  
Social Security, No. 14-cv-04525-MEJ, 2015 WL 3546057 at n.1 (N.D. Cal., Jun. 5, 2015).

<sup>41</sup> AR 563.

<sup>42</sup> AR 562.

<sup>43</sup> AR 514–15.

<sup>44</sup> AR 515.

1 In October 2015, Mr. Rivada reported depression and anxiety, specifying his depression “to be  
2 a 2–3 on a 0–10 scale and his anxiety to be at a 6–7 on that same scale.”<sup>45</sup> He reported that his  
3 depression and anxiety were more elevated, and he only slept two to three hours per night, when  
4 he was living on the street.<sup>46</sup> He had a problem with “racing thoughts.”<sup>47</sup> In custody, he was  
5 sleeping an average of six hours per night.<sup>48</sup> He attributed his symptoms in part to being  
6 incarcerated and away from his family.<sup>49</sup> Under the DSM IV diagnoses, CSW A. Carrizales  
7 diagnosed him with adjustment disorder with anxiety, antisocial personality disorder,  
8 hyperlipidemia, and pyelonephritis.<sup>50</sup> The GAF score was 65.<sup>51</sup>

9 On November 14, 2015, Clinical Social Worker (“CSW”) Carrizales confirmed that Mr.  
10 Rivada met the criteria for inclusion in the MHSDS, based on “medical necessity.”<sup>52</sup>

11 Mr. Rivada saw psychiatrist O. Umugbe, PhD. three times from October 2015 to January  
12 2016.<sup>53</sup> Each time, Dr. Umugbe noted that Mr. Rivada suffered from Adjustment Disorder with  
13 Anxiety and Antisocial Personality Disorder.<sup>54</sup> Dr. Umugbe assigned a GAF score of 64 or 65  
14 during each session.<sup>55</sup>

15 Mr. Rivada saw Dr. Umugbe a final time on April 26, 2016.<sup>56</sup> At the session, Mr. Rivada rated  
16 his depression as a six or seven (out of ten) and anxiety as a seven or eight.<sup>57</sup> Mr. Rivada “fe[lt]

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<sup>45</sup> AR 572.

<sup>46</sup> Id.

<sup>47</sup> Id.

<sup>48</sup> Id.

<sup>49</sup> Id.

<sup>50</sup> AR 573.

<sup>51</sup> Id.

<sup>52</sup> AR 561.

<sup>53</sup> AR 594–95, 597–98.

<sup>54</sup> AR 598.

<sup>55</sup> AR 582, 595, 597.

<sup>56</sup> AR 591.

<sup>57</sup> Id.

1 alright” and denied delusions.<sup>58</sup> Dr. Umugbe noted his good cognition and fair insight and  
2 judgment.<sup>59</sup> After the session, Dr. Umugbe increased Mr. Rivada’s prescription for Vistaril (for  
3 anxiety) and renewed Mr. Rivada’s prescription for Prozac (for depression).<sup>60</sup>

4 **2.1.2 Rebecca Jedel, Ph.D. — Examining**

5 On May 9, 2014, Dr. Jedel conducted a clinical examination of Mr. Rivada at the request of  
6 the Social Security Administration (“SSA”).<sup>61</sup>

7 Mr. Rivada came to the appointment with a case worker from his shelter.<sup>62</sup> Dr. Jedel observed  
8 that Mr. Rivada “entered the room in an agitated manner, looking around and rubbing his hands on  
9 his legs.<sup>63</sup> He became tearful when she asked him personal questions and had difficulty talking  
10 about himself.<sup>64</sup> He did maintain his composure when he felt he was supported and was able to  
11 complete the interview.”<sup>65</sup>

12 In describing Mr. Rivada’s mental status, Dr. Jedel noted that he was unkempt, agitated, and  
13 anxious.<sup>66</sup> She reported that he was on “high alert.”<sup>67</sup> He made eye contact rarely, his judgment  
14 and insight were “poor,” and his thought process was “confused.”<sup>68</sup> She noted that his speech,  
15 attention, intelligence were “within normal limits” and that he did not express suicidal ideation.<sup>69</sup>

16 During the examination Mr. Rivada “complained of pervasive anxiety, which impeded his  
17 daily life such that he cannot attend social event [sic], go out on public [sic], use public transit or  
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19 <sup>58</sup> Id.

20 <sup>59</sup> Id.

21 <sup>60</sup> AR 592.

22 <sup>61</sup> AR 372.

23 <sup>62</sup> Id.

24 <sup>63</sup> Id.

25 <sup>64</sup> Id.

26 <sup>65</sup> Id.

27 <sup>66</sup> AR 373.

28 <sup>67</sup> Id.

<sup>68</sup> Id.

<sup>69</sup> Id.

1 attempt to work.”<sup>70</sup> Mr. Rivada reported that he was severely beaten by his father throughout his  
2 childhood and was placed into foster care when he was a teenager.<sup>71</sup> He reported that he suffered  
3 from panic attacks, had poor sleep, almost no appetite, and racing thoughts, and was unable to  
4 concentrate. He constantly felt agitated.<sup>72</sup>

5 Under the DSM-IV, Dr. Jedel diagnosed Mr. Rivada with PTSD and Generalized Anxiety.<sup>73</sup>  
6 She noted Mr. Rivada’s “fused wrist” and that he was “homeless” and “had a newborn child and  
7 limited access to healthcare.”<sup>74</sup> Dr. Jedel assigned him a GAF score of 45 with an accompanying  
8 note of “serious symptoms.”<sup>75</sup>

9 She opined that Mr. Rivada had “serious impairments” in all of the listed work-related  
10 activities:

- 11 1. Ability to understand, carry out and remember simple instructions
- 12 2. Ability to understand, carry out and remember complex instructions
- 13 3. Ability to maintain adequate attention/ concentration
- 14 4. Ability to maintain adequate pace or persistence to perform a) 1 or 2 step repetitive  
15 tasks, or b) complex tasks
- 16 5. Ability to respond appropriate[ly] [to] co-workers, a supervisor and public
- 17 6. Ability to respond appropriate[ly] to usual work situations (e.g. attendance, safety, etc.)
- 18 7. Ability to adapt to changes in routine work setting
- 19 8. Any limitations due to emotional impairments
- 20 9. Ability to manage money for own best interests[.]<sup>76</sup>

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23 <sup>70</sup> AR 372.

24 <sup>71</sup> Id.

25 <sup>72</sup> Id.

26 <sup>73</sup> AR 374.

27 <sup>74</sup> Id.

28 <sup>75</sup> Id.. “[A] GAF score between 41 and 50 describes ‘serious symptoms’ or ‘any serious impairment in social, occupational, or school functioning.’” Garrison, 759 F.3d at 1002 n.4.

<sup>76</sup> AR 375.



1 Mr. Rivada made eye contact rarely, his judgment and insight were poor, and his thought  
2 process was confused.<sup>77</sup> She noted that his speech, attention, and intelligence were “within normal  
3 limits” and he did not express suicidal ideation.<sup>78</sup>

4 **2.1.3 Disability Determination Explanations — Non-Examining**

5 During the administrative process, non-examining doctors conducted two disability  
6 determination explanations (“DDEs”), one related to his initial claim for disability and a second  
7 related to his claim at the reconsideration level.<sup>79</sup>

8 As part of the first DDE, K. Thai, a disability evaluations analyst summarized Mr. Rivada’s  
9 medical history.<sup>80</sup> K. Thai also contacted Mr. Rivada by phone on May 27, 2014.<sup>81</sup> After the call  
10 he wrote the following summary:

11 [Mr. Rivada] stated that he injured his wrist “sometime last year” and was seen for  
12 it briefly but has received no follow up care. He stated that the pain comes and goes  
13 and that it can be controlled [with over the counter] ibuprofen and medicinal  
14 marijuana. He stated that . . . it does not limit his ability to function/work. I  
15 informed him, if needed, we can schedule for an [orthopedic consultative  
16 examination], but [he] declined, stating that his pain is tolerable and controlled with  
17 ibuprofen/marijuana. I asked why then, did he say at the [consultative examination]  
18 that he is unable to engage in regular care due to pain. He stated that prior to the  
19 [examination] he did not take any pain meds or smoke marijuana to ease the pain.<sup>82</sup>

20 P. Davis, Psy. D., reviewed K. Thai’s summary.<sup>83</sup> Dr. Davis found that Mr. Rivada’s PTSD  
21 diagnosis “receive[d] no weight” because it was “not supported by signs.”<sup>84</sup> Dr. Davis found that  
22 Dr. Jedel’s opinion was “not supported” and gave it no weight.<sup>85</sup> Dr. Davis wrote that “[a]lthough  
23 this [claimant] may have been anx[ious], his condition is not considered to be severely limiting his  
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22 <sup>77</sup> AR 373.

23 <sup>78</sup> Id.

24 <sup>79</sup> AR 47–58, 59–67.

25 <sup>80</sup> AR 51–52.

26 <sup>81</sup> AR 51.

27 <sup>82</sup> Id.

28 <sup>83</sup> AR 53.

<sup>84</sup> Id.

<sup>85</sup> Id.

1 abilities.”<sup>86</sup> Dr. Davis found that Mr. Rivada’s anxiety-related disorders and substance addiction  
2 disorders did not meet the B or C criteria of listing 12.06 or 12.09.<sup>87</sup> J. Zheutlin, M.D. found Mr.  
3 Rivada’s physical impairment to be “nonsevere.”<sup>88</sup> The final determination in the DDE was that  
4 Mr. Rivada was not disabled.<sup>89</sup>

5 On reconsideration, D. Lee, M.D. write that based on the evidence, he “affirm[ed] the Initial  
6 assessment that [Mr. Rivada] had no severe physical” disability.<sup>90</sup> L. Colsky, M.D. noted that Mr.  
7 Rivada had six medically determinable impairments that were non-severe.<sup>91</sup> Dr. Colsky also found  
8 that Mr. Rivada’s anxiety-related disorders and substance addiction disorders did not meet the B  
9 or C criteria of listing 12.06 or 12.09.<sup>92</sup> Dr. Colsky quoted Dr. Davis’s earlier opinion that Mr.  
10 Rivada’s PTSD diagnosis and Dr. Jedel’s assessment should receive no weight.<sup>93</sup> The final  
11 determination was that Mr. Rivada was not disabled.<sup>94</sup>

12 **2.2 Mr. Rivada’s Testimony**

13 At the June 22, 2016 hearing, Mr. Rivada was represented by an attorney.<sup>95</sup> The ALJ first  
14 asked Mr. Rivada about his prior work.<sup>96</sup> Mr. Rivada said that his prior work consisted of  
15 “stacking tires in trailers,” and he did that job until he injured his leg falling off a trailer.<sup>97</sup> He did  
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18 <sup>86</sup> Id.

19 <sup>87</sup> AR 54. Paragraphs “A”, “B”, and “C” refer to the Listing requirements found in 20 CFR 404 subpart  
20 P 12.00. In those requirements, the applicant must possess factors described in both paragraphs “A”  
and “B”, or paragraphs “A” and “C”.

21 <sup>88</sup> AR 53.

22 <sup>89</sup> AR 56.

23 <sup>90</sup> AR 62.

24 <sup>91</sup> Id.

25 <sup>92</sup> AR 63.

26 <sup>93</sup> AR 64.

27 <sup>94</sup> AR 65.

28 <sup>95</sup> AR 33.

<sup>96</sup> AR 37.

<sup>97</sup> AR 37–38.

1 not have trouble getting along with the people he worked with at that job.<sup>98</sup> He testified that he  
2 was taking Prozac.<sup>99</sup>

3 Mr. Rivada’s attorney then questioned him. Mr. Rivada testified that he dropped out of high  
4 school in “10th or 11th grade.”<sup>100</sup> He described his symptoms of depression: “Sometimes I don’t  
5 sleep or I don’t want to eat. I start crying for no apparent reason. I’ll want to do nothing but sleep  
6 and not eat. I’ll maybe sleep, if I do, three or four hours.”<sup>101</sup> He described feeling “helpless” and  
7 “worthless” because “I’m not there to help support myself or my son or fiancé, and it just makes  
8 me feel less of a person, of a man, of a father.”<sup>102</sup>

9 Mr. Rivada then discussed symptoms of anxiety including “sweating [and] shortness of  
10 breath.”<sup>103</sup> He said sometimes “[i]t feels like there’s like 400 pounds sitting on my chest and I  
11 can’t breathe.”<sup>104</sup> He explained that he feels “anger because [he] can’t control [himself] or the way  
12 [his] mind is” and “the way my mind races makes my anxiety worse.”<sup>105</sup> He stated that he “can  
13 hardly sit still—twitching my fingers, restless legs, always twitching.”<sup>106</sup> He experienced panic  
14 attacks when he felt “trapped or cornered” and it “[felt] like [his] back [was] against a wall—about  
15 three or four times a day—five times a day.”<sup>107</sup> He noted that “[i]t’s about the same” whether he is  
16 incarcerated or “outside” and that it’s related to “being around a lot of people.”<sup>108</sup>

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<sup>98</sup> AR 38.

21 <sup>99</sup> Id.

22 <sup>100</sup> AR 39.

23 <sup>101</sup> Id.

24 <sup>102</sup> Id.

25 <sup>103</sup> Id.

26 <sup>104</sup> Id.

27 <sup>105</sup> Id.

28 <sup>106</sup> Id.

<sup>107</sup> AR 40.

<sup>108</sup> Id.

1 Mr. Rivada testified that he had trouble concentrating.<sup>109</sup> “I lose my train of thought or I’ll  
2 forget what I’m doing and I’ll just sit there like, duh, and I’ll stare. Every day I have trouble with  
3 it.”<sup>110</sup> He also said that he had trouble getting along with other people.<sup>111</sup> It was “easier for [him]  
4 to just be alone, not say anything” and that he felt that way whether he was incarcerated or not.<sup>112</sup>  
5 He avoided other people to avoid conflicts with them.<sup>113</sup> He felt like he experienced “culture  
6 shock” when he left prison because “you have to act different in jail or prison.”<sup>114</sup>

7 Mr. Rivada’s medications made him “...feel tired a lot, and I’m always—I’m always hungry.  
8 Not matter how much I eat, I’ll still eat.... Sometimes I feel, like, I don’t know, zombie-like, like  
9 I can’t pay attention and I’ll just space out.”<sup>115</sup>

10 Mr. Rivada also testified about his wrist injury.<sup>116</sup> He had a partial fusion wrist surgery in 2001  
11 or 2002 that included “eight titanium screws and a titanium plate.”<sup>117</sup> As a result, he “can’t push,  
12 pull or lift anything over 30 or 35 pounds” and “[i]t starts bothering [him] when the weather gets  
13 really cold.”<sup>118</sup> The injury was to Mr. Rivada’s right wrist but he is left-handed.<sup>119</sup> He testified that  
14 the injury affected his ability to conduct fine-motor movements such as “writing, typing, or  
15 handling small objects.”<sup>120</sup>

16 Mr. Rivada said that he had a hard time obtaining “ongoing access to medical treatment or  
17 mental health treatment” because he had trouble leaving his home when he had one, because of his  
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19 <sup>109</sup> Id.

20 <sup>110</sup> Id.

21 <sup>111</sup> Id.

22 <sup>112</sup> Id.

23 <sup>113</sup> AR 41.

24 <sup>114</sup> Id.

25 <sup>115</sup> Id.

26 <sup>116</sup> AR 42.

27 <sup>117</sup> Id.

28 <sup>118</sup> Id.

<sup>119</sup> Id.

<sup>120</sup> Id.

1 paranoia, and also had “been homeless a lot.”<sup>121</sup> Being outside made him “paranoid, and [he]  
2 think[s] everybody’s staring at [him] or they know that [he] had just gotten out of prison or jail or  
3 people know that something’s wrong with him.”<sup>122</sup>

### 4 **2.3 Vocational Expert Testimony**

5 Vocational expert Christopher Salvo testified at the hearing.<sup>123</sup> Based on Mr. Rivada’s  
6 testimony, he classified his past temporary work stacking tires as “[u]nskilled with an SVP  
7 [specific vocational preparation] of 2[,] [n]ormally medium in nature, but, according to the  
8 records, he was doing heavy to very-heavy work, as he was lifting 100 pounds and possibly  
9 more.”<sup>124</sup> There was no further examination or testimony.<sup>125</sup>

### 10 **2.4 Administrative Findings**

11 The ALJ followed the five-step sequential-evaluation process to determine whether Mr.  
12 Rivada was disabled and concluded that he was not.<sup>126</sup>

13 At step one, the ALJ found that that Mr. Rivada had not engaged in substantial gainful activity  
14 since he filed his application on February 26, 2014.<sup>127</sup>

15 At step two, the ALJ found that Mr. Rivada had two severe impairments: affective disorders  
16 and personality disorder.<sup>128</sup>

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20 <sup>121</sup> AR 43.

21 <sup>122</sup> Id.

22 <sup>123</sup> AR 23.

23 <sup>124</sup> AR 43–44; Specific Vocational Preparation (“SVP”) is defined “as the amount of lapsed time  
24 required by a typical worker to learn the techniques, acquire the information, and develop the facility  
25 needed for average performance in a specific job-worker situation.” On the SVP scale, a 2 refers to any  
26 training “beyond short demonstration up to and including 1 month.” Dictionary of Occupational Titles,  
27 App. C, 1991 WL 688702 (4th ed. 1991).

25 <sup>125</sup> See AR 44.

26 <sup>126</sup> AR 20–28.

27 <sup>127</sup> AR 22.

28 <sup>128</sup> Id.

1 The ALJ did not find that Mr. Rivada had any physical impairments that were severe.<sup>129</sup>

2 Specifically, regarding Mr. Rivada’s wrist, the ALJ wrote:

3 While 2013 records indicate that the claimant reportedly sustained a wrist fracture  
4 due to punching concrete years before,<sup>130</sup> see Exhibit 2F, and wrist x-rays dated  
5 November 23, 2015 confirmed a dorsal carpal fusion with mild degenerative  
6 changes, Neil Hirsch, M.D., found that this condition did not require further follow-  
7 up (Exhibit 9F at 15 and 20). There is no indication that claimant has had treatment  
8 for his wrist impairment since his application date. . . I note that the claimant did  
9 not allege [sic] physical impairments when he filed his application. Exhibit 2E.<sup>131</sup>

10 At step three, the ALJ found that Mr. Rivada did not have an impairment or combination of  
11 impairments that met or medically equaled the severity of a listed impairment.<sup>132</sup> Specifically, the  
12 ALJ evaluated Mr. Rivada’s impairments under listing 12.04.<sup>133</sup> He held that the evidence did not  
13 show marked restriction of activities of daily living, marked difficulties in maintaining social  
14 functioning, marked difficulties in maintaining concentration, or repeated episodes of  
15 decompensation.<sup>134</sup> Rather, the ALJ found that Mr. Rivada had only mild restrictions of his  
16 activities of daily living, mild to moderate difficulties in social functioning, no episodes of  
17 decompensation, and mild difficulties with concentration, persistence, and pace.<sup>135</sup>

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19 <sup>129</sup> Id.

20 <sup>130</sup> On May 29, 2013, while he was being treated at Tri-Health Center, Mr. Rivada reported punching  
21 “something concrete,” resulting in a possible wrist fracture. AR 304. This appears to be a separate  
22 incident from the injury that required his wrist surgery in “2001 or 2002.” AR 42.

23 <sup>131</sup> AR 22–23.

24 <sup>132</sup> AR 23.

25 <sup>133</sup> To meet the paragraph B criteria for listing 12.04, a claimant must demonstrate an “[e]xtreme  
26 limitation of one, or marked limitation of two, of the following areas of mental functioning: (1)  
27 Understand, remember, or apply information; (2) Interact with others; (3) Concentrate, persist, or  
28 maintain pace; (4) Adapt or manage oneself. 20 C.F.R. pt. 5, subpt. P, app’x 1. To meet the paragraph  
C criteria for listing 12.04, a claimant must have a “mental disorder . . . [that] is ‘serious and  
persistent’ . . .” and there must be “evidence of both (1) Medical treatment, mental health therapy,  
psychological support(s), or a highly structured setting(s) that is ongoing and that diminishes the  
symptoms or signs of your mental disorder; and (2) Marginal adjustment, that is you have minimal  
capacity to adapt to changes in your environment or to demands that are not already party of your daily  
life.” Id.

<sup>134</sup> AR 23.

<sup>135</sup> AR 24.

1 The ALJ reviewed the mental-health records from A. Carrizales, CSW, and Dr. Umugbe.<sup>136</sup> He  
2 wrote:

3 Claimant’s mental health treatment records are inconsistent with a Listing-level  
4 impairment or with a more restrictive residual functional capacity that found herein  
5 for any twelve-month period. The medical evidence of record shows that claimant  
6 was treated for dysthymia with prescribed Prozac and trazodone on April 30, 2015  
7 (Exhibit 9F at 36). In an initial screening dated October 23, 2015, claimant denied  
8 feeling depressed more than half the time in the last two weeks. He denied suicidal  
9 ideation or homicidal ideation, and did not appear to have any difficulty  
10 understanding or responding to questions (Exhibit 8F at 106). On November 4,  
11 [2015], Oghenesume Umugbe, M.D., diagnosed claimant with an adjustment  
12 disorder with anxiety and an antisocial personality disorder. He prescribed  
13 fluoxetine and Remeron and assigned a [GAF] score of 65, consistent with mild  
14 symptoms . . . (Exhibit 9F at 59, 70, 73, and 77). From November 10 to April 26,  
15 2016, Dr. Umugbe assigned GAF scores of 64, also consistent with mild symptoms  
16 (Exhibit 9F at 69). As discussed below, treatment records indicate that symptoms  
17 also have been a situational response to his incarceration. Treatment records show  
18 minimal treatment with mild symptoms that generally have been stable on  
19 medication.<sup>137</sup>

20 The ALJ “considered but assign[ed] little weight to the assessment of consultative examiner  
21 Rebecca Jedel, Ph.D., in light of the record as a whole.”<sup>138</sup> The ALJ wrote:

22 On May 9, 2014, Dr. Jedel performed a psychological consultative examination.  
23 Claimant appeared unkempt, agitated, anxious on high alert, with attention and  
24 intelligence within normal limits, but with memory limitations. Dr. Jedel’s notes do  
25 not provide more specific observations to support her opinions. She diagnosed a  
26 [PTSD] and general anxiety disorder and assigned a GAF score of 45, consistent  
27 with severe symptoms. Dr. Jedel opined claimant would have serious limitations in  
28 all work-related abilities (Exhibit 6F at 1–4). I find that this opinion is contradicted  
by the weight of the additional evidence of record, including the records discussed  
above; it is based upon a one-time evaluation and appears to have relied in large  
part on the claimant’s self-reported symptoms and limitations. Significantly, Dr.  
Jedel had not medical records to review. Exhibit 6F at 1.<sup>139</sup>

Referring to the DDEs the ALJ wrote, “[t]he State agency psychological and psychiatric  
consultants rejected [Dr. Jedel’s] assessment and found that the claimant has no severe mental

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<sup>136</sup> AR 23.

<sup>137</sup> Id.

<sup>138</sup> AR 24.

<sup>139</sup> Id.

1 impairment.”<sup>140</sup>

2 In evaluating the “paragraph B” criteria of listing 12.04, the ALJ found Mr. Rivada had a mild  
3 restriction in daily living and concentration, persistence or pace, and a moderate difficulty in  
4 maintaining social functioning.<sup>141</sup> The ALJ found he “ha[d] experienced no episodes of  
5 decompensation which have been of extended duration” and “[t]he medical evidence of record  
6 indicates no episodes of decompensation.”<sup>142</sup> The ALJ wrote: “Because claimant’s mental  
7 impairments do not cause at least two ‘marked’ limitations or one ‘marked’ limitation and  
8 ‘repeated’ episodes of decompensation each of extended duration, the ‘paragraph B’ criteria are  
9 not satisfied.”<sup>143</sup>

10 The ALJ also found that the “paragraph C” criteria of Section 12.04 were not satisfied: “The  
11 medical evidence does not demonstrate a medically documented history of a chronic affective  
12 disorder of at least 2 years’ duration that has caused more than a minimal limitation of ability to  
13 do basic work activities....”<sup>144</sup>

14 At step four, the ALJ did not reach the issue of whether Mr. Rivada could perform past  
15 relevant work, because the ALJ found that he was not disabled.<sup>145</sup> The ALJ determined Mr.  
16 Rivada had the residual functional capacity (“RFC”) to perform a full range of work at all  
17 exertional levels.<sup>146</sup> But, the ALJ gave Mr. Rivada the “benefit of the doubt” and restricted him to  
18 “simple routine tasks equating to unskilled work.”<sup>147</sup>

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21 <sup>140</sup> Id.

22 <sup>141</sup> Id.

23 <sup>142</sup> Id.

24 <sup>143</sup> Id.

25 <sup>144</sup> Id.

26 <sup>145</sup> AR 27. The ALJ noted that “while claimant has three years of substantial gainful activity level  
27 income in the last 15 years, it is unclear that he had substantial gainful activity earnings from any  
28 single job, and it is not necessary to resolve this issue because the claimant is found not disabled at a  
later step of the evaluation process.”

<sup>146</sup> AR 26.

<sup>147</sup> AR 25.



1 In reaching the conclusion, the ALJ followed a two-step process.<sup>148</sup> First, he determined  
2 whether there was “an underlying medically determinable physical or mental impairment . . .that  
3 could reasonably be expected to produce the type of the claimant’s pain or other symptoms.”<sup>149</sup>  
4 Second, the ALJ evaluated their “intensity, persistence, and limiting effects. . . . [w]henver  
5 statements about the intensity, persistence, or functionally limiting effects . . .are not substantiated  
6 by objective medical evidence, [the ALJ] must consider other evidence in the record to determine  
7 if claimant’s symptoms limit the ability to do work-related activities.”<sup>150</sup>

8 The ALJ found that while Mr. Rivada’s impairments could cause the alleged symptoms he  
9 described, Mr. Rivada’s “[s]tatements concerning the intensity, persistence and limiting effects of  
10 these symptoms are not found consistent with the medical evidence and other evidence in the  
11 record. . . .”<sup>151</sup> The ALJ concluded that “[t]he medical evidence [did] not warrant a finding of a  
12 more restrictive residual functional capacity for any twelve-month period.”<sup>152</sup>

13 The ALJ noted that the record contained no mental-health treatment records before October  
14 2015, when Mr. Rivada began a mental-health treatment plan in prison with Dr. Umugbe and A.  
15 Carrizales, CSW.<sup>153</sup> The ALJ wrote that Mr. Rivada’s mental-health records in prison “indicate he  
16 was cooperative, and mental status examinations consistently showed good cognition; they contain  
17 no reference to any significant social problems.”<sup>154</sup> The ALJ wrote, “in general, the medical  
18 evidence shows depression that generally has been a situational reaction to his present  
19 incarceration but that is not reasonably shown to have been of such severity as to have precluded  
20 at least simple routine tasks.”<sup>155</sup>

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<sup>148</sup> Id.

<sup>149</sup> Id.

<sup>150</sup> Id.

<sup>151</sup> AR 25–26.

<sup>152</sup> AR 26.

<sup>153</sup> Id.

<sup>154</sup> Id.

<sup>155</sup> Id.

1 At step five, the ALJ held that Mr. Rivada’s “limitations do not restrict him from meeting the  
2 intellectual and emotional demands of at least unskilled, competitive, remunerative work on a  
3 sustained basis.”<sup>156</sup> The ALJ made the finding under Section 204.00 of the Medical-Vocational  
4 Guidelines,<sup>157</sup> noting Mr. Rivada “may be expected to perform [] the 2,500 medium, light, and  
5 sedentary occupations administratively noticed in the [guidelines].”<sup>158</sup> The ALJ concluded that,  
6 “considering [Mr. Rivada’s] age, education, work experience, and [RFC], there are jobs that exist  
7 in significant numbers in the national economy that the claimant can perform,” and therefore he  
8 was “not disabled.”<sup>159</sup>

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10 **STANDARD OF REVIEW**

11 Under 42 U.S.C. § 405(g), district courts have jurisdiction to review any final decision of the  
12 Commissioner if the claimant initiates a suit within sixty days of the decision. A court may set  
13 aside the Commissioner’s denial of benefits only if the ALJ’s “findings are based on legal error or  
14 are not supported by substantial evidence in the record as a whole.” *Vasquez v. Astrue*, 572 F.3d  
15 586, 591 (9th Cir. 2009) (internal citation and quotation marks omitted); 42 U.S.C. § 405(g).  
16 “Substantial evidence means more than a mere scintilla but less than a preponderance; it is such  
17 relevant evidence as a reasonable mind might accept as adequate to support a conclusion.”  
18 *Andrews v. Shalala*, 53 F.3d 1035, 1039 (9th Cir. 1995). The reviewing court should uphold “such  
19 inferences and conclusions as the [Commissioner] may reasonably draw from the evidence.” *Mark*  
20 *v. Celebrezze*, 348 F.2d 289, 293 (9th Cir. 1965). If the evidence in the administrative record  
21 supports the ALJ’s decision and a different outcome, the court must defer to the ALJ’s decision  
22 and may not substitute its own decision. *Tackett v. Apfel*, 180 F.3d 1094, 1097–98 (9th Cir. 1999).

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<sup>156</sup> AR 27.

26 <sup>157</sup> The Medical-Vocational Guidelines (or, “the Grids”) were created by the Secretary of Health and  
Human Services to assist in determining if a job exists for an individual with certain qualifications and  
disabilities. *Heckler v. Campbell*, 461 U.S. 458, 458 (1983).

27 <sup>158</sup> AR 27–28.

28 <sup>159</sup> AR 28.

1 “Finally, [a court] may not reverse an ALJ’s decision on account of an error that is harmless.”  
2 Molina v. Astrue, 674 F.3d 1104, 1111 (9th Cir. 2012).

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4 **APPLICABLE LAW**

5 A claimant is considered disabled if (1) he or she suffers from a “medically determinable  
6 physical or mental impairment which can be expected to result in death or which has lasted or can  
7 be expected to last for a continuous period of not less than twelve months,” and (2) the  
8 “impairment or impairments are of such severity that he or she is not only unable to do his  
9 previous work but cannot, considering his age, education, and work experience, engage in any  
10 other kind of substantial gainful work which exists in the national economy. . . .” 42 U.S.C. §  
11 1382c(a)(3)(A) & (B). The five-step analysis for determining whether a claimant is disabled  
12 within the meaning of the Social Security Act is as follows. Tackett, 180 F.3d at 1098 (citing 20  
13 C.F.R. § 404.1520).

14 **Step One.** Is the claimant presently working in a substantially gainful activity? If  
15 so, then the claimant is “not disabled” and is not entitled to benefits. If the claimant  
16 is not working in a substantially gainful activity, then the claimant case cannot be  
17 resolved at step one, and the evaluation proceeds to step two. See 20 C.F.R. §  
18 404.1520(a)(4)(i).

19 **Step Two.** Is the claimant’s impairment (or combination of impairments) severe? If  
20 not, the claimant is not disabled. If so, the evaluation proceeds to step three. See 20  
21 C.F.R. § 404.1520(a)(4)(ii).

22 **Step Three.** Does the impairment “meet or equal” one of a list of specified  
23 impairments described in the regulations? If so, the claimant is disabled and is  
24 entitled to benefits. If the claimant’s impairment does not meet or equal one of the  
25 impairments listed in the regulations, then the case cannot be resolved at step three,  
26 and the evaluation proceeds to step four. See 20 C.F.R. § 404.1520(a)(4)(iii).

27 **Step Four.** Considering the claimant’s RFC, is the claimant able to do any work  
28 that he or she has done in the past? If so, then the claimant is not disabled and is not  
entitled to benefits. If the claimant cannot do any work he or she did in the past,  
then the case cannot be resolved at step four, and the case proceeds to the fifth and  
final step. See 20 C.F.R. § 404.1520(a)(4)(iv).

**Step Five.** Considering the claimant’s RFC, age, education, and work experience,  
is the claimant able to “make an adjustment to other work?” If not, then the  
claimant is disabled and entitled to benefits. See 20 C.F.R. § 404.1520(a)(4)(v). If  
the claimant is able to do other work, the Commissioner must establish that there  
are a significant number of jobs in the national economy that the claimant can do.

1 There are two ways for the Commissioner to show other jobs in significant  
2 numbers in the national economy: (1) by the testimony of a vocational expert or (2)  
3 by reference to the Medical-Vocational Guidelines at 20 C.F.R., part 404, subpart  
4 P, app. 2.

5 For steps one through four, the burden of proof is on the claimant. At step five, the burden  
6 shifts to the Commissioner. *Gonzales v. Sec’y of Health & Human Servs.*, 784 F.2d 1417, 1419  
7 (9th Cir. 1986).

### 8 APPLICATION

9 Mr. Rivada contends the ALJ erred by:

- 10 (1) failing to properly evaluate and weigh the opinion of examining psychologist Dr. Jedel;  
11 (2) finding Mr. Rivada’s wrist injury not severe, and failing to consider his physical  
12 impairment at step five;  
13 (3) finding Mr. Rivada’s testimony not credible; and  
14 (4) failing to properly apply the Medical-Vocational Guideline rules.<sup>160</sup>

#### 15 1. Whether the ALJ Erred by Discounting Dr. Jedel’s Opinion

16 Mr. Rivada contends the ALJ provided insufficient grounds for rejecting Dr. Jedel’s  
17 opinion.<sup>161</sup> The court agrees.

18 The ALJ is responsible for ““resolving conflicts in medical testimony, and for resolving  
19 ambiguities.”” *Garrison v. Colvin*, 759 F.3d 995, 1010 (9th Cir. 2014) (quoting *Andrews*, 53 F.3d  
20 at 1039). In weighing and evaluating the evidence, the ALJ must consider the entire case record,  
21 including each medical opinion in the record, together with the rest of the relevant evidence.  
22 20 C.F.R. § 416.927(b); see also *Orn v. Astrue*, 495 F.3d 625, 630 (9th Cir. 2007) (“[A] reviewing  
23 court [also] must consider the entire record as a whole and may not affirm simply by isolating a  
24 specific quantum of supporting evidence.”) (internal quotation marks and citation omitted).

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27 <sup>160</sup> Mot. – ECF No. 14.

28 <sup>161</sup> *Id.* at 9.

1            “In conjunction with the relevant regulations, [the Ninth Circuit has] developed standards that  
2            guide [the] analysis of an ALJ’s weighing of medical evidence.” *Ryan v. Comm’r of Soc. Sec.*, 528  
3            F.3d 1194, 1198 (9th Cir. 2008) (citing 20 C.F.R. § 404.1527). Social Security regulations  
4            distinguish between three types of physicians: (1) treating physicians; (2) examining physicians;  
5            and (3) non-examining physicians. 20 C.F.R. § 416.927(c), (e); *Lester v. Chater*, 81 F.3d 821, 830  
6            (9th Cir. 1995). “Generally, a treating physician’s opinion carries more weight than an examining  
7            physician’s, and an examining physician’s opinion carries more weight than a reviewing [non-  
8            examining] physician’s.” *Holohan v. Massanari*, 246 F.3d 1195, 1202 (9th Cir. 2001) (citing  
9            *Lester*, 81 F.3d at 830); *Smolen v. Chater*, 80 F.3d 1273, 1285 (9th Cir. 1996).

10           “To reject [the] uncontradicted opinion of a treating or examining doctor, an ALJ must state  
11           clear and convincing reasons that are supported by substantial evidence.” *Ryan*, 528 F.3d at 1198  
12           (alteration in original) (internal quotation marks and citation omitted). By contrast, if the ALJ  
13           finds that the opinion of a treating or examining doctor is contradicted by another opinion, a  
14           reviewing court will require only that the ALJ provide “specific and legitimate reasons supported  
15           by substantial evidence in the record.” *Reddick v. Chater*, 157 F.3d 715, 725 (9th Cir. 1998)  
16           (internal quotation marks and citation omitted); see also *Garrison*, 759 F.3d at 1012 (“If a treating  
17           or examining doctor’s opinion is contradicted by another doctor’s opinion, an ALJ may only reject  
18           it by providing specific and legitimate reasons that are supported by substantial evidence.”)  
19           (internal quotation marks and citation omitted). The opinions of non-treating or non-examining  
20           physicians may serve as substantial evidence when the opinions are consistent with independent  
21           clinical findings or other evidence in the record. *Thomas v. Barnhart*, 278 F.3d 947, 957 (9th Cir.  
22           2002).

23           An ALJ errs when he “rejects a medical opinion or assigns it little weight” without explanation  
24           or without explaining why “another medical opinion is more persuasive, or criticiz[es] it with  
25           boilerplate language that fails to offer a substantive basis for [her] conclusion.” *Garrison*, 759  
26           F.3d at 1012–13. “[F]actors relevant to evaluating any medical opinion, not limited to the opinion  
27           of the treating physician, include the amount of relevant evidence that supports the opinion and the  
28           quality of the explanation provided[,] the consistency of the medical opinion with the record as a

1 whole[, and] the specialty of the physician providing the opinion . . .” Orn, 495 F.3d at 631.  
2 (citing 20 C.F.R. § 404.1527(d)(3)–(6)); see also Magallanes v. Bowen, 881 F.2d 747, 753 (9th  
3 Cir. 1989) (an ALJ need not agree with everything contained in the medical opinion and can  
4 consider some portions less significant than others).

5 Here, the ALJ rejected Dr. Jedel’s opinion because it was contradicted by other evidence in the  
6 record, it was based on a one-time examination, it was based on Plaintiff’s statements, and she did  
7 not have medical records to review.<sup>162</sup> The plaintiff argues that Dr. Jedel’s opinion was  
8 uncontradicted, requiring the ALJ to provide clear and convincing reasons for rejecting it, and that  
9 none of the reasons cited meet that standard.<sup>163</sup> Dr. Jedel’s opinion is contradicted by the opinions  
10 of the non-examining physicians contained in the DDEs.<sup>164</sup> Thus, the ALJ was required to give  
11 specific and legitimate reasons supported by the record for discounting the opinion. Reddick, 157  
12 F.3d at 725. But the court holds that the ALJ did not meet this standard.

13 First, the ALJ rejected Dr. Jedel’s opinion because it was “contradicted by the weight of the  
14 additional evidence of record. . . .”<sup>165</sup> A review of the record reveals that this is not the case. Mr.  
15 Rivada was consistently diagnosed with and treated for various mental disorders.<sup>166</sup> . In  
16 summarizing the record, the ALJ focused on Mr. Rivada’s denying suicidal or homicidal ideation  
17 and his ability to understand and respond to questions, as well as the relatively high GAF scores  
18 assigned by Dr. Umugbe and A. Carrizales.<sup>167</sup> He also repeatedly stated that Mr. Rivada’s  
19 symptoms were “situational response[s] to his incarceration.”<sup>168</sup> But Mr. Rivada’s medical history  
20 contains consistent diagnoses of mental-health illnesses, including anxiety and depression.<sup>169</sup> In

21 \_\_\_\_\_  
22 <sup>162</sup> AR 24.

23 <sup>163</sup> Mot. – ECF No. 14 at 10.

24 <sup>164</sup> Compare AR 372–75 with AR 47–58 and 59–67.

25 <sup>165</sup> AR 24.

26 <sup>166</sup> AR 573 (adjustment disorder with anxiety, antisocial personality disorder), 585 (adjustment  
27 disorder with anxiety), 592 (same), 606 (polysubstance abuse, substance induced mood disorder,  
28 anxiety disorder).

<sup>167</sup> AR 23.

<sup>168</sup> Id.

<sup>169</sup> See, e.g., AR 514, 419, 561, 565.

1 Holohan v. Massanari, the Ninth Circuit observed that the ALJ was “selective in his reliance on  
2 [claimant’s treating physician’s] treatment notes” and held that merely because “a person who  
3 suffers from severe panic attacks, anxiety, and depression makes some improvement does not  
4 mean that the person’s impairments no longer seriously affect her ability to function in the  
5 workplace.” Holohan, 246 F.3d at 1205. Here, the ALJ was similarly selective in his reliance on  
6 instances of “mild symptoms” and did not consider the “overall diagnostic picture” reflected in  
7 Mr. Rivada’s mental health treatment records. *Id.* This was not a valid basis for rejecting Dr.  
8 Jedel’s opinion.

9 Second, the ALJ rejected the opinion because the examination was “based upon a one-time  
10 evaluation” and Dr. Jedel “had no medical records to review.”<sup>170</sup> This reason is not legitimate  
11 because, as the plaintiff points out, “the Social Security Administration routinely orders and relies  
12 on consultative examinations like the one it paid Dr. Jedel to perform.”<sup>171</sup> Basing rejection on the  
13 fact that it was a one-time evaluation was “‘legally erroneous’ because ‘[t]he ALJ’s rationale  
14 would render all examining opinions superfluous, and [it] is contrary to the requirement that the  
15 ALJ consider all relevant evidence, including the medical opinions of examining doctors.’” *Brown*  
16 *v. Berryhill*, No. 17-02834 (JCS), 2018 WL 4700348 at 17 (N.D. Cal. September 29, 2018) (citing  
17 *Thompson v. Berryhill*, No. 17-305 (BAT), 2017 WL 4296971, at \*5 (W.D. Wash. Sept. 29, 2017)  
18 (citing 20 C.F.R. § 416.945(a), which requires the ALJ to review “all of the relevant medical and  
19 other evidence”)); *Sorg v. Astrue*, No. C09-5063 (KLS), 2009 WL 4885184, at \*8 (W.D. Wash.  
20 Dec. 16, 2009) (“just because [the physician] saw and evaluated [the] plaintiff one time does not  
21 alone invalidate any findings or opinions based thereon, particularly as the Commissioner himself  
22 often relies on such one-time evaluations in determining a claimant’s disability or lack thereof”).

23 Third, the ALJ rejected Dr. Jedel’s opinion because she appeared “to have relied in large part  
24 on the claimant’s self-reported symptoms and limitations.” This was not a specific and legitimate  
25 reason supported by the record. “[W]hen an opinion is not more heavily based on a patient’s self-

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27 <sup>170</sup> AR 24.

28 <sup>171</sup> Mot. – ECF No. 14 at 11.

1 reports than on clinical observations, there is no evidentiary basis for rejecting the opinion.”  
2 Ghanim v. Colvin, 763 F.3d 1154, 1162 (9th Cir. 2014). Dr. Jedel performed a “complete  
3 psychological evaluation” on Mr. Rivada, resulting in the report submitted to the SSA.<sup>172</sup> There is  
4 no evidence that Dr. Jedel’s opinion and assignment of a GAF score of 45 was based primarily on  
5 Mr. Rivada’s self-reported symptoms, and not on her own evaluation.

6 In sum, the court holds that the ALJ did not provide specific and legitimate reasons for  
7 discounting Dr. Jedel’s opinions. Garrison, 759 F.3d at 1012. This error matters because Dr.  
8 Jedel’s opinion is essential context for the ALJ’s determination that Mr. Rivada can “perform  
9 work at all exertional levels.”<sup>173</sup> Specifically, Dr. Jedel determined that Mr. Rivada’s abilities to  
10 “maintain adequate pace or persistence to perform (1) 1 or 2 step simple repetitive tasks [and] (2)  
11 complex tasks,” “respond appropriate[ly] to usual work situations,” and “ability to adapt to  
12 changes in routine work setting[s],” would all be seriously impaired.<sup>174</sup> If the ALJ properly  
13 weighed Dr. Jedel’s opinion regarding Mr. Rivada’s serious impairments as related to his ability to  
14 work, the ALJ’s final determination might have been different.

15 The court thus remands for the ALJ’s reconsideration of Dr. Jedel’s opinion.

16  
17 **2. Whether the ALJ Erred by Finding Mr. Rivada’s Testimony Not Credible**

18 Mr. Rivada argues that the ALJ erred by discounting his testimony about his symptoms.<sup>175</sup> The  
19 court agrees.

20 In assessing a claimant’s credibility, an ALJ must make two determinations. Molina, 674 F.3d  
21 at 1112. “First, the ALJ must determine whether the claimant has presented objective medical  
22 evidence of an underlying impairment which could reasonably be expected to produce the pain or  
23 other symptoms alleged.” Id. (quoting Vasquez, 572 F.3d at 591). Second, if the claimant  
24 produces that evidence, and “there is no evidence of malingering,” the ALJ must provide

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26 <sup>172</sup> See AR 372–75.

27 <sup>173</sup> AR 27.

28 <sup>174</sup> AR 375.

<sup>175</sup> Mot. – ECF No. 14 at 12–13.



1 “specific, clear and convincing reasons for” rejecting the claimant’s testimony regarding the  
2 severity of the claimant’s symptoms. Id (internal quotation marks and citations omitted).

3 “At the same time, the ALJ is not ‘required to believe every allegation of disabling pain, or  
4 else disability benefits would be available for the asking, a result plainly contrary to 42 U.S.C. §  
5 423(d)(5)(A).’” Molina, 674 F.3d at 1112 (quoting Fair v. Bowen, 885 F.2d 597, 603 (9th Cir.  
6 1989)). “Factors that an ALJ may consider in weighing a claimant’s credibility include reputation  
7 for truthfulness, inconsistencies in testimony or between testimony and conduct, daily activities,  
8 and unexplained, or inadequately explained, failure to seek treatment or follow a prescribed course  
9 of treatment.” Orn, 495 F.3d at 636 (internal punctuation omitted). “The ALJ must identify what  
10 testimony is not credible and what evidence undermines the claimant’s complaints.” Burrell v.  
11 Colvin, 775 F.3d 1133, 1138 (9th Cir. 2014); see, e.g., Morris v. Colvin, No. 16-CV-0674-JSC,  
12 2016 WL 7369300, at \*12 (N.D. Cal. Dec. 20, 2016).

13 The ALJ found that Mr. Rivada’s “statements concerning the intensity, persistence and  
14 limiting effects of [his] symptoms [were] not found consistent with the medical evidence and other  
15 evidence in the record.”<sup>176</sup> The ALJ did not identify specifically what portions of Mr. Rivada’s  
16 testimony were not credible or specifically what evidence undermined his testimony regarding his  
17 symptoms. Thus, this did not constitute a specific, clear, and convincing reason for rejecting his  
18 testimony. Burrell, 775 F.3d at 1138.

19 **3. Whether the ALJ Erred by Finding Mr. Rivada’s Wrist Injury to be Non-Severe**

20 Mr. Rivada argues the ALJ erred at step two of the five-step sequential process by finding that  
21 his wrist injury was not a severe physical impairment.<sup>177</sup>

22 At step two, the ALJ determines whether the claimant has a medically severe impairment or  
23 combination of impairments. Smolen, 80 F.3d 1273 at 1290. The ALJ must consider entire record,  
24 including evidence that both supports and detracts from its final decision. Reddick, 157 F.3d at  
25

26 \_\_\_\_\_  
27 <sup>176</sup> AR 25.

28 <sup>177</sup> Mot. – ECF No. 14 at 13.

1 720. An impairment is not severe if it does not significantly limit the claimant’s mental or physical  
2 abilities to do basic work activities. 20 C.F.R. § 404.1521(a).<sup>178</sup> Basic work activities are “abilities  
3 and aptitudes necessary to do most jobs,” including, for example, “walking, standing, sitting,  
4 lifting, pushing, pulling, reaching, carrying, or handling.” 20 C.F.R. § 404.1521(b).

5 The burden at step two is on the plaintiff and is a relatively low bar. The Ninth Circuit has held  
6 that “the step two inquiry is a de minimis screening device to dispose of groundless claims.”  
7 Smolen, 80 F.3d at 1290 (citing Bowen v. Yuckert, 482 U.S. 137 at 153–54 (1987)). Thus, “[a]n  
8 impairment or combination of impairments can be found ‘not severe’ only if the evidence  
9 establishes a slight abnormality that has no more than a minimal effect on an individual[’]s ability  
10 to work.” Id. (internal quotation marks omitted) (citing Yuckert v. Bowen, 841 F.2d 303, 306 (9th  
11 Cir.1988)).

12 The ALJ held that Mr. Rivada’s wrist condition was not a severe physical impairment because  
13 his treating physician found no reason for further follow-up, and Mr. Rivada received no treatment  
14 for his wrist injury since his application date.<sup>179</sup> Mr. Rivada argues that this is an insufficient  
15 justification because “no evidence that any treatment exists that would improve Plaintiff’s wrist  
16 condition.”<sup>180</sup> But the record establishes that Dr. Hirsch examined Mr. Rivada over a period of  
17 time and diagnosed him with an “excellent grip and normal sensation and circulation” with only  
18 “mild degenerative changes” requiring no further treatment.<sup>181</sup> Also, when Mr. Rivada spoke with  
19 the disability evaluations analyst, he declined a referral to an orthopedist, stating his wrist pain  
20 was “tolerable and controlled” with ibuprofen and medical marijuana.<sup>182</sup> See *Warre v. Comm’r of*  
21 *Soc. Sec.*, 439 F.3d 1001, 1006 (9th Cir. 2006) (“Impairments that can be controlled effectively  
22 with medication are not disabling for the purpose of determining eligibility for SSI benefits”).  
23

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24 <sup>178</sup> The Social Security Administration promulgated new regulations, including a new § 404.1521,  
25 effective March 27, 2017. The previous version, effective to March 26, 2017, governs based on the  
date of the ALJ’s hearing, June 22, 2016.

26 <sup>179</sup> AR 22.

27 <sup>180</sup> Mot. – ECF No. 14 at 14.

28 <sup>181</sup> AR 459; see AR 467.

<sup>182</sup> AR 51.

1 Given this record, the evidence as a whole supports the ALJ's determination that Mr. Rivada's  
2 wrist injury was non-severe. See Reddick, 157 F.3d at 720.

3  
4 **4. Whether the ALJ Erred by Determining that Mr. Rivada Could Perform Other Work**

5 At step five, the burden shifts to the ALJ to determine whether the claimant can "make an  
6 adjustment to other work." Tackett, 180 F.3d at 1098 (citing 20 C.F.R. § 404.1520). If the ALJ  
7 finds that the claimant can adjust to other work, he must then establish that there are a significant  
8 number of jobs in the national economy that the claimant can do." Id. This can be established by  
9 either referring to the Medical-Vocational guidelines (the "Grids") in 20 C.F.R., part 404, subpart  
10 P, appendix 2, or by taking testimony from a vocational expert. Id.

11 Here, the ALJ relied solely on the Grids in making his assessment. Whether or not this was  
12 proper depends on whether the Grids "accurately and completely describe the claimant's abilities  
13 and limitations." Reddick, 157 F.3d at 729 (citing Jones v. Heckler, 760 F.2d 993, 998 (9th Cir.  
14 1985)). Whether this is true in this case, in turn, depends on the ALJ's determination of Mr.  
15 Rivada's abilities and limitations, which may or may not differ after reconsideration of the  
16 medical-opinion testimony. The court thus remands this issue for reconsideration too.

17  
18 **CONCLUSION**

19 The court grants Mr. Rivada's summary-judgment motion, denies the Commissioner's cross-  
20 motion, and remands the case for further proceedings consistent with this order.

21  
22 **IT IS SO ORDERED.**

23 Dated: January 18, 2019

24 

25 LAUREL BEELER  
26 United States Magistrate Judge  
27  
28