STANDARD OPERATING PROCEDURE

Legal Document Filing SOP

Document no.	SOP-LAW-003
Revision	1.0
Owner	Office Manager
Effective date	September 15, 2026
Review cycle	Every 12 months

1. Purpose

To make sure legal documents are accurate, properly formatted, filed on time with the correct court or agency, served on the right parties, and stored where the team can find them.

2. Scope

Applies to pleadings, motions and other documents filed with a court, agency or opposing party. Drafting the legal content itself is the responsible attorney's judgment and is not detailed here.

Definitions

Caption	The heading of a legal document showing the court, case number, parties and title of the document.
Certificate of service	A statement confirming how and when a document was delivered to the other parties in the case.
E-filing	Submitting a document to a court or agency through its electronic filing system instead of paper delivery.

3. Responsibilities

Paralegal	Prepares filing packages, checks formatting and deadlines, files and serves documents, and calendars resulting dates.
Associate Attorney	Reviews the substance of the document before it is filed.
Responsible Attorney	Signs the document and is accountable for its content and timely filing.
Records Clerk	Files the stamped copy in the document management system and updates the case index.

RACI matrix

Activity	Paralegal	Associate Attorney	Responsible Attorney	Records Clerk
Prepare the filing package	R/A	C	I	-
Review document content	C	R/A	A	-
File and serve the document	R/A	I	I	-
Calendar resulting deadlines	R/A	I	I	-

Activity	Paralegal	Associate Attorney	Responsible Attorney	Records Clerk
File stamped copy and update index	C	-	I	R/A

R = Responsible, A = Accountable, C = Consulted, I = Informed

4. Materials and PPE

Materials, tools and systems

- Court or agency e-filing system access
- Filing checklist by court or agency
- Case calendar and deadline tracker
- Document management system
- Certificate of service template
- Courier or process server contact list

5. Procedure

Step	Task	Owner	Done
5.1	**Receive the document for filing** The paralegal receives the final document from the drafting attorney along with the filing deadline, the court or agency, and any exhibits that must accompany it.	Paralegal	☐
5.2	**Verify caption and formatting** The paralegal checks the caption, case number, party names and document title against the case file, and confirms the document meets the court's formatting rules. **Checkpoint:** Case number and party names match the official case record exactly.	Paralegal	☐
5.3	**Confirm venue and deadline requirements** The paralegal confirms the correct court or agency, filing method, and the applicable deadline, and checks for any local rules on page limits or required attachments.	Paralegal	☐
5.4	**Route for attorney content review** The associate attorney reviews the document for accuracy, completeness and legal argument before it goes to the responsible attorney for signature.	Associate Attorney	☐
5.5	**Assemble the filing package** The paralegal assembles the final document with all exhibits, a table of contents where required, and a draft certificate of service listing every party to be served.	Paralegal	☐
5.6	**Obtain the attorney signature** The responsible attorney reviews and signs the document, confirming it is ready to file as prepared.	Responsible Attorney	☐
5.7	**File the document** The paralegal files the document through the court or agency's e-filing system, or delivers it in person or by courier where e-filing is not available. **Warning:** Confirm the filing was accepted by the court's system, not just submitted, since a rejected filing can still miss the deadline.	Paralegal	☐

Step	Task	Owner	Done
5.8	**Confirm filing acceptance** The paralegal checks the e-filing system or clerk's office for a stamped or file-marked copy confirming the document was accepted, and resolves any rejection before the deadline passes. **Checkpoint:** A stamped or file-marked confirmation is on file for every document filed.	Paralegal	☐
5.9	**Serve the document on other parties** The paralegal serves the filed document on opposing counsel or self-represented parties by the required method and completes the certificate of service.	Paralegal	☐
5.10	**Calendar resulting deadlines** The paralegal calculates and calendars any new deadlines created by the filing, such as a response due date, and confirms the entry with the responsible attorney.	Paralegal	☐
5.11	**File the stamped copy** The records clerk saves the stamped or file-marked copy, the certificate of service, and any filing receipt into the case folder in the document management system.	Records Clerk	☐
5.12	**Update the case index** The records clerk updates the case document index with the new filing and notifies the responsible attorney that the filing is complete and stored.	Records Clerk	☐

6. Quality checks

- Every filed document has a stamped or file-marked confirmation on record.
- Certificates of service list every required party and the correct service method.
- Deadlines created by a filing are calendared the same day it is filed.
- Case captions and numbers are checked against the official case record before filing.

7. Records

- Filed document with stamped confirmation
- Certificate of service
- Deadline calendar entries
- Case document index

8. KPIs

- Percentage of documents filed before the deadline
- Number of rejected e-filings per month
- Average time from receiving a document to filing it

9. Common mistakes

- Treating submission to the e-filing system as proof of acceptance.
- Forgetting to serve a newly added party.
- Missing a local formatting rule that causes a rejection close to the deadline.
- Filing before the responsible attorney has signed the document.

10. Revision history

Revision	Date	Description	Reviewed by
1.0	September 15, 2026	Initial release	Ilia Pirozhenko

Approval

Prepared by	Approved by	Date

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