



## **Policy Analysis of the Occupational Safety and Health Management System of SMK3 at the North Sumatra Provincial Employment Supervision UPTD**

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### **Abstract**

This study aims to analyze the policies of the Occupational Safety and Health Management System (SMK3) implemented in the North Sumatra Provincial Manpower Supervision UPTD. A qualitative approach is used to explore the effectiveness of policies, implementation challenges, and their impact on occupational safety. Data were obtained through in-depth interviews, field observations, and document analysis. The results of the study show that the SMK3 policy has positively impacted reducing the number of work accidents, especially in companies that consistently implement safety standards. However, its implementation is still constrained by limited resources, a low understanding of small and medium enterprises (SMEs) regulations, and a lack of labor participation in several companies. Management commitment and occupational safety culture have proven to be key factors in successfully implementing SMK3. In addition, digital technology has begun to support supervision, although it still requires development. This study recommends increasing the capacity of supervisors, more intensive policy socialization, and collaboration with K3 training institutions. With a more inclusive and technology-based approach, the SMK3 policy is expected to improve overall occupational safety in North Sumatra Province.

**Keywords:** SMK3; Occupational Safety Policy; UPTD; Policy Implementation; Safety Culture.

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## INTRODUCTION

Occupational safety and health (K3) is one of the important aspects of the world of work, and it aims to protect workers from various risks that can endanger their health and safety (Rawis et al., 2016). In the context of industrialization that continues to develop, the implementation of the Occupational Safety and Health Management System (SMK3) is becoming increasingly relevant to ensure business sustainability while maintaining the welfare of the workforce (Sarief et al., 2023). One of the regions that has serious concerns about the implementation of SMK3 is North Sumatra Province, which has a fairly high level of industrial activity.

The Regional Technical Implementation Unit (UPTD) of Manpower Supervision in North Sumatra Province has a strategic role in ensuring that the K3 policy is implemented properly in various companies. As a government institution, the Manpower Supervision UPTD is tasked with supervising the implementation of K3 regulations, providing technical guidance, and evaluating the K3 management system in companies in this region (Diah, 2021). Therefore, the analysis of the SMK3 policy implemented in the UPTD is very important to understand the extent of the effectiveness of the system's implementation.

SMK3 is an integral part of efforts to create a safe, healthy, and productive work environment (Febriyanti et al., 2024). Based on Government Regulation Number 50 of 2012 concerning the Implementation of SMK3, this system must be implemented by companies that have a certain number of workers or who have high risks in their operations (Nainggolan & Hendra, 2023). In North Sumatra, the diversity of industrial sectors such as mining, manufacturing, and plantations demands more attention to the implementation of SMK3 to minimize work accidents and occupational diseases.

However, in its implementation, the implementation of the SMK3 policy often faces various challenges. Lack of understanding of regulations, limited competent human resources, and lack of commitment from the company's management are some of the factors that can hinder the effectiveness of SMK3 implementation (Mahawati et al., 2021). Therefore, an in-depth analysis of existing

policies is needed to identify strengths, weaknesses, opportunities, and threats in their implementation.

This study aims to analyze the SMK3 policy implemented in the North Sumatra Provincial Manpower Supervision UPTD. This analysis was carried out by looking at how the policy was designed, implemented, and evaluated in an effort to improve the quality of OSH in the work environment. The focus of the research also includes the impact of policies on companies and labor, as well as the role of UPTD in overcoming various obstacles faced.

In addition, this study tries to explore the extent to which SMK3 policies in North Sumatra are able to adapt to the dynamics of the industry that continues to develop. With the increase in digitalization and automation in the production process, the challenges of K3 are also undergoing transformation. Therefore, policies that are relevant and responsive to change are becoming an inevitable necessity.

The supervisory role carried out by the Employment UPTD is not only to ensure the company's compliance with regulations but also to build a sustainable work safety culture. This safety culture is an important foundation for creating a conducive work environment and supporting long-term productivity (Lubis, 2015).

The analysis of SMK3 policies also involves a review of the national and local regulatory frameworks that form the basis for the implementation of the policy. This is important to ensure alignment between the policies implemented and the applicable standards at the national and international levels. In this context, the Employment Supervision UPTD acts as a liaison between government policies and their implementation at the company level.

Furthermore, this study also highlights the role of labor participation in the implementation of SMK3. The workforce is not only the object of the OSH policy, but also an active subject that can contribute to the development of the system. Workforce awareness of the importance of K3 is one of the key factors in the successful implementation of SMK3.

On the other hand, the company also has a big role in supporting SMK3 policies through resource allocation, training development, and providing incentives for workers who

contribute to occupational safety. Synergy between the government, companies, and the workforce is key to achieving holistic occupational safety and health goals.

This research makes an important contribution to understanding the dynamics of OSH policies, especially in regions with industrial complexity, such as North Sumatra. By analyzing the SMK3 policy, it is hoped that solutions can be found to various problems faced in the implementation of this system.

Furthermore, this study also provides insight into how the supervision carried out by UPTD can contribute to increasing company compliance with K3 regulations. Evaluation of UPTD's performance is an important part of this study, considering its strategic role in ensuring the successful implementation of SMK3.

With the various challenges faced, this study emphasizes the importance of collaboration between stakeholders to create a safe and healthy work environment. The effective implementation of SMK3 not only provides benefits for the workforce, but also contributes to increasing company productivity and regional economic growth.

In the end, the policy analysis of SMK3 at the North Sumatra Provincial Manpower Supervision UPTD is expected to provide valuable input for policy makers, both at the local and national levels. Thus, a better and comprehensive OSH management system can be realized to support sustainable development in Indonesia.

## RESEARCH METHODS

This study uses a qualitative approach to analyze the policies of the Occupational Safety and Health Management System (SMK3) implemented in the North Sumatra Provincial Manpower Supervision UPTD (Rachmawati, 2017). This approach was chosen because it is able to delve deeply into social phenomena, processes, and dynamics related to the implementation of these policies. This research involves collecting primary and secondary data through the following methods:

### 1. Research Design

This study is designed as a descriptive-analytical study (Syahrizal & Jailani, 2023). Descriptive is used to describe SMK3 policies, implementation processes, and challenges

faced by the UPTD of Manpower Supervision. Meanwhile, the analysis was carried out to evaluate the effectiveness of the policy, including the impact and factors that affect it.

### 2. Research Location

The location of the research is the North Sumatra Provincial Manpower Supervision UPTD, which plays a direct role in supervising the implementation of SMK3 policies in various companies in the region. The study also includes several companies that are subject to scrutiny to gain a broader perspective.

### 3. Data Source

- Primary Data. Data was obtained directly from in-depth interviews, focus group discussions (FGDs), and observations in the field (Saleh, 2017). This information includes experiences, views, and practices related to the implementation of SMK3.
- Secondary Data. This data includes policy documents, supervisory reports, government regulations, and related literature relevant to SMK3 policies.

### 4. Data Collection Techniques

- In-depth interviews. Interviews were conducted with UPTD officials and staff, company management, and labor representatives. The interview aims to identify their views and experiences on SMK3 policies, as well as the challenges and opportunities that exist.
- Observation. The researcher made direct observations of the work site and supervision activities carried out by UPTD to understand the actual condition of the implementation of SMK3.
- Documentation. The researcher analyzed official documents such as supervision reports, SMK3 policies, standard operating procedures, and available work accident data (Miles & Huberman, 1992).

### 5. Research Instruments

The instruments used in this study include:

- Interview guide to explore information from sources.
  - Observation sheets to record field findings.
  - Document analysis templates for organizing and analyzing secondary data.
- ### 6. Data Analysis Techniques
- Data Reduction. Data obtained from interviews, observations, and documentation were selected,



summarized, and categorized according to the focus of the research (Muhson, 2006).

- Data Presentation. Reduced data is presented in the form of narratives, tables, and diagrams to facilitate interpretation.
- Drawing conclusions. The researcher interprets the data that has been presented to produce conclusions that are relevant to the research objectives.

## 7. Validity and Reliability

To ensure the validity and reliability of the data, triangulation is carried out by comparing information from various data sources and data collection methods. In addition, the researcher also conducted member checking by asking the source to confirm the results of the interview.

## 8. Population and Sample

- Population. The population in this study includes all employees of the Employment Supervision UPTD, supervised companies, and workers in North Sumatra Province.
- Sample. The sample was selected purposively, namely several UPTD employees, company management representatives, and labor who were considered relevant to the focus of the research.

## 9. Research Limitations

This study is limited to the policy analysis of SMK3 in North Sumatra Province and does not cover other regions. In addition, research is focused on policies and their implementation, not on technical evaluations in each company.

## RESULTS AND DISCUSSION

Based on the research methods that have been applied, the following are the results of the research on Policy Analysis of the Occupational Safety and Health Management System (SMK3) at the North Sumatra Provincial Manpower Supervision UPTD:

### 1. Overview of SMK3 Policy at UPTD Labor Supervision

The results of the document analysis show that the SMK3 policy in North Sumatra Province refers to Government Regulation Number 50 of 2012 concerning the Implementation of SMK3. The Employment Supervision UPTD plays a role as the implementer of monitoring compliance with this policy. The policy structure has included a framework for risk identification, occupational

accident mitigation, and the development of a safety culture. However, there are variations in the level of implementation in the field.

### 2. Implementation of Supervision by the Employment Supervision UPTD

From in-depth interviews with UPTD officials, it was found that supervision was carried out through routine inspections and incident investigations. However, limited human and financial resources are often an obstacle in ensuring optimal supervision coverage.

- Frequency of supervision: Not all companies can be supervised regularly due to the limitations of supervisory personnel.
- Supervision priority: The main focus is given to high-risk companies, such as the mining, manufacturing, and construction sectors.

The implementation of the SMK3 policy carried out by UPTD in North Sumatra shows that the existence of a clear regulatory framework is an important foundation in encouraging company compliance with occupational safety standards. This is in line with the theory of Compliance-Based Safety Management, which states that strict regulations and consistent supervision are the keys to improving occupational safety (Mohamed, 2014). However, the challenge of limited supervisory resources faced by UPTD illustrates a similar condition to the research conducted by (Susila, 2017), where institutional capacity weaknesses often hinder the effectiveness of occupational safety supervision, especially in developing countries.

The uneven frequency of supervision due to the limitation of supervisors is the main obstacle in ensuring the implementation of SMK3 in all sectors. This indicates the need for resource optimization with technological approaches, such as those that are beginning to be implemented through the use of web-based applications. These findings support a study by (Sutaguna et al., 2023), which shows that digital technology can strengthen OSH surveillance by providing real-time access to occupational safety implementation data.

### 3. Challenges in the Implementation of SMK3 in Companies

Interviews with company management representatives revealed several challenges:

- Limited understanding: Not all companies fully understand SMK3 regulations, especially small and medium-sized companies.
- Management commitment: Some company management tends to view SMK3 as an administrative burden rather than a strategic need.
- Limitations of experts: Many companies have difficulty finding certified K3 experts who can help with the implementation of SMK3.

The challenges faced in the implementation of SMK3, such as the lack of understanding of regulations in the small and medium enterprises (SMEs) sector, indicate the need for specific strategies to support this group. Research by (AlfaReza & Susilawati, 2024) found that SMEs often have limitations in adopting occupational safety systems due to a lack of resources and access to OSH training. This is relevant to the conditions in North Sumatra, where many small and medium-sized companies have not fully understood the importance of SMK3.

On the contrary, collaboration opportunities with K3 education and training institutions can be a solution to improve workforce and management competence. This program can help small and medium-sized companies overcome limitations by providing affordable K3 experts.

#### 4. Labor Participation in the Implementation of SMK3

Field observations show that the level of labor participation in the implementation of SMK3 varies. In companies that have a good occupational safety culture, the workforce is more actively involved in training, simulation, and incident reporting. On the other hand, in companies with low attention to K3, labor participation tends to be minimal.

The varying levels of labor participation in the implementation of SMK3 show that there are differences in safety culture in each company. Occupational safety culture is a key element in the theory of Safety Culture (Prabowo, 2018), which states that work safety is not only influenced by regulations and technology but also by the values, attitudes, and behaviors of all individuals in the organization. Companies that have a good safety culture tend to exhibit high levels of

workforce participation in training, simulation, and incident reporting. In contrast, companies with low attention to OSH face difficulties in actively engaging the workforce.

The study also supports the findings of (Glendon and Stanton, 2000), which states that strengthening the safety culture requires the active involvement of the workforce as a subject, not just an object, in OSH policies. Therefore, a participatory approach is needed in the development of SMK3 policies, where the workforce is empowered to act as partners in creating a safe and healthy work environment.

#### 5. Effectiveness of SMK3 Implementation

Based on the data analyzed, the effectiveness of SMK3 policies depends on several factors:

- Support from UPTD: The technical guidance provided by UPTD is considered to help companies understand their obligations.
- Policy socialization: The socialization program from UPTD is quite helpful in increasing company awareness, but it has not reached all industrial sectors.
- Availability of personal protective equipment (PPE): In some companies, the use of PPE is still limited due to cost reasons or lack of strict supervision.

The results of the study show that the commitment of company management plays a crucial role in the implementation of SMK3. This finding is in line with the Management Commitment to Safety theory (Manalu et al., 2024), which states that leadership and management commitment are key factors in the success of an occupational safety program. Management that only views SMK3 as an administrative burden often hinders the effectiveness of policy implementation.

Previous research by (Pratiwi et al., 2014) also emphasizes the importance of leadership in fostering a culture of safety. When management shows a strong commitment through resource allocation, training, and the provision of incentives, the workforce is more motivated to comply with occupational safety standards. Therefore, UPTD needs to improve its educational approach in building the understanding of company management that SMK3 is not just an



obligation, but a strategic investment for business sustainability.

## 6. Policy Impact on Occupational Health and Safety

The results of the document analysis show that after the implementation of SMK3, there has been a decrease in the incidence of work accidents in several sectors, especially in companies that have implemented this system consistently. However, the informal sector has not been fully touched by SMK3 policies. The reduction in the rate of work accidents in companies that consistently implement SMK3 shows the positive impact of this policy. These findings support the theory of the Accident Prevention Model (Heinrich, 1931), which states that accident prevention can be achieved by eliminating causative factors through supervision and training. However, the informal sector is still a major challenge in occupational safety supervision.

## 7. The Role of UPTD in Overcoming Implementation Obstacles

UPTD has several strategies to overcome implementation constraints:

- Training and guidance: UPTD provides training to employers and workers on the importance of K3.
- Certification facilitation: UPTD collaborates with third parties to provide companies with access to K3 certification.
- Periodic evaluation: An evaluation program is implemented to assess a company's compliance with OSH policies.

The application of digital technology in the supervision of SMK3, although still in its early stages, shows great potential to increase the effectiveness of supervision. This is in line with research by (Sarjito, 2023), which shows that the integration of technology in safety management can speed up risk identification and improve communication between supervisors and companies. However, the success of this technology is highly dependent on infrastructure support and user training.

## 8. Innovation in Supervision of SMK3

UPTD has begun to implement digital technology to facilitate reporting and supervision. For example, the use of web-based applications for reporting work incidents and monitoring the implementation

of SMK3. However, the application of this technology is still in its early stages and requires further development.

The findings of this study support the need for a collaborative approach between the government, companies, and the workforce in the implementation of SMK3. This approach is also in line with the System Theory of Safety (Larsson et al., 2010), which emphasizes the importance of synergy between stakeholders in creating a holistic occupational safety system. UPTD needs to increase the socialization of K3 policies, especially in the SME and informal sectors, through affordable training programs. In addition, providing incentives for companies that show high compliance with SMK3 can encourage more companies to actively participate in this program.

## CONCLUSION

This study examines the Occupational Safety and Health Management System (SMK3) policy implemented by the North Sumatra Provincial Manpower Supervision UPTD, focusing on the effectiveness of implementation, the challenges faced, and its impact on occupational safety. Based on the results and discussions, it can be concluded that the SMK3 policy has had a positive impact in creating a safer work environment, although there are still obstacles that affect its optimal implementation.

The implementation of the SMK3 policy shows that clear regulations and consistent supervision are the main foundations in encouraging the company's compliance with occupational safety standards. However, the limited human and financial resources in UPTD are the main obstacles in covering all industrial sectors, especially the small, medium, and informal business sectors. The implementation of digital technology is starting to be a promising alternative to overcome this obstacle, although it still requires further development.

Other factors that affect the success of policy implementation are labor participation and company management commitment. Companies that have a strong occupational safety culture tend to be more effective in implementing SMK3, while the low awareness and understanding of regulations in some companies, especially SMEs, is a significant

challenge. The active participation of the workforce in training, simulation, and incident reporting also plays an important role in building a resilient safety system.

The impact of the SMK3 policy can be seen from the reduction in the rate of work accidents in companies that consistently implement safety standards. However, there is still a gap in the supervision of the informal sector that is not yet fully reached. This demonstrates the need for a more inclusive and collaborative approach to ensure the success of these policies in all sectors.

Based on the findings of this study, several strategic recommendations can be submitted, such as increasing the capacity of supervisors, intensive socialization to the SME sector, strengthening the safety culture in the company, and integrating technology to accelerate the supervision and reporting process. In addition, providing incentives for companies that comply with SMK3 can encourage active participation in creating a safe and healthy workplace.

Overall, the SMK3 policy in North Sumatra Province has great potential to improve occupational safety if supported by increased resources, synergy between stakeholders, and a technology-based approach. With these steps, it is hoped that this policy can provide wider benefits for the workforce, companies, and the regional economy as a whole.

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